FLORIDA DEPARTMENT of STATE

RON DESANTIS
Governor

CORD BYRD
Secretary of State

LEGISLATIVE BUDGET REQUEST

Department of State

Tallahassee

October 15, 2024

Brandi Gunder, Deputy Budget 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 2025-26 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 2025-2026

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 2025-2026 is unknown.

8. Historical Data

The temporary special duty pay additive was first implemented by the Department in or about 1999. One position in the class code 2729 was approved by the Department for temporary special duty-general pay additives during FY 2023-2024 in the amount of $1,385.81.

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 2025-2026

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:	Attorneys fees	
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	

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.)	*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:	Attorneys fees.			
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			

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.)	*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 attorney's fees and costs			
Specific Statutes or Laws (including GAA) Challenged:	§§ 97.0575, 101.69, 101.62, 102.031, Fla. Stat.			
Status of the Case:	Attorney's fees			
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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Agency:	**Department of State**		
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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:	Attorney's fees	
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:	Fla. Sup. Ct.	
Case Number:	2015-ca-2682; 2015-ca-1423; SC2024-0556; SC2024-0551	
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 attorney's 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 sought Supreme Court review.	
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	

Schedule VII: Agency Litigation Inventory

Department of State		
Brad McVay	Phone Number:	850-245-6536

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:	Fla. Sup. Ct.	
Case Number:	1D2023-2252; SC23-1671	
Summary of the Complaint:	Challenges Florida's current CD 5.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 2-C	
Status of the Case:	Oral argument held. Pending 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
	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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Department of State			
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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Nord Hodges, et al. v. Pasidomo, et al.*	
Court with Jurisdiction:	M.D. Fla.	
Case Number:	8:24-cv-879-CEH-TPB-ALB	
Summary of the Complaint:	Challenges two current state senate districts.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SJR 100	
Status of the Case:	Motion to dismiss denied.	
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	

Schedule VII: Agency Litigation Inventory

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Cubanos Pa'lante, et al. v. Fla. House of Rep., et al.*	
Court with Jurisdiction:	S.D. Fla	
Case Number:	1:24-cv-21983-JB	
Summary of the Complaint:	Challenges three congressional districts and seven state house districts, all in South Florida.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SJR 100 and SB 2-C	
Status of the Case:	Motion to dismiss second amended complaint 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.)	*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 attorney's 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.)	*Polelle v. Byrd, et al.*	
Court with Jurisdiction:	11th Cir. Ct. Appeals	
Case Number:	8:22-cv-1301-SDM-AAS; 22-14031	
Summary of the Complaint:	Challenges constitutionally of section 101.021, Florida Statutes.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§ 101.021	
Status of the Case:	Oral argument October 11, 2024.	
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; 23-12308	
Summary of the Complaint:	Challenges various provisions of SB 7050.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 7050; § 97.0575; § 101.62	
Status of the Case:	Oral argument held. Pending 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
	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; 24-892	
Summary of the Complaint:	Challenges various provisions of SB 7050.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 7050; § 97.0575	
Status of the Case:	Oral argument held. Pending 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
	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:	N.D. Fla.			
Case Number:	4:23-cv-215-MW-MAF			
Summary of the Complaint:	Challenges various provisions of SB 7050.			
Amount of the Claim:	No monetary damages; possible attorney's fees and costs			
Specific Statutes or Laws (including GAA) Challenged:	SB 7050; § 97.0575			
Status of the Case:	Trial held. Pending 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		
	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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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.)	*Vote.org, et al., v. Byrd, et al.*			
Court with Jurisdiction:	11th Circuit Court of Appeals			
Case Number:	4:23-cv-111-AW-MAF; 23-13727			
Summary of the Complaint:	Challenges "original signature" requirement for voter registration under materiality provision of VRA			
Amount of the Claim:	No monetary damages; possible attorney's fees and costs			
Specific Statutes or Laws (including GAA) Challenged:	§ 98.053(5)(a)(8)			
Status of the Case:	Briefing complete.			
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:	4:24-cv-412-RH-MJF	
Summary of the Complaint:	Challenges "book closing" deadline due to Hurricanes Helene and Milton.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§ 97.055	
Status of the Case:	Motion for TRO or Preliminary Injunction 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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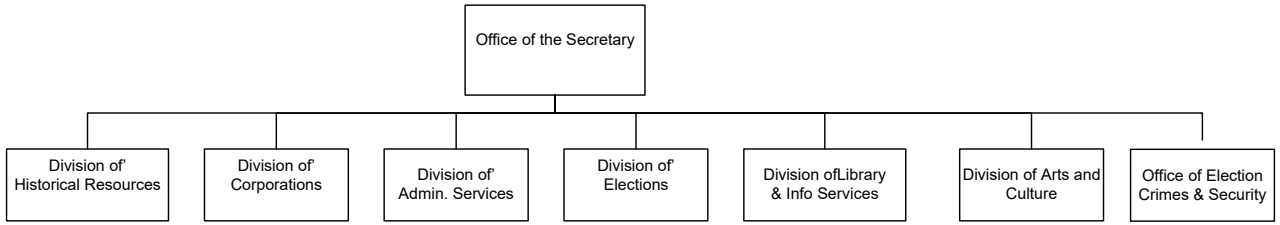
Brad McVay	Phone Number:	850-245-6536	

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Florida Rising Together, Inc., v. Byrd, et al.*	
Court with Jurisdiction:	M.D. Fla.	
Case Number:	6:24-cv-1682-WB-EJK	
Summary of the Complaint:	Challenges "exact match" between FVRS and DHSMV of SSA for voter registration under sections 2 and 8 of Voting Rights Act and under First and Fourteenth Amendments.	
Amount of the Claim:	No monetary damages; possible attorney's fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§ 97.053	
Status of the Case:	Motion for TRO or Preliminary Injunction 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).		

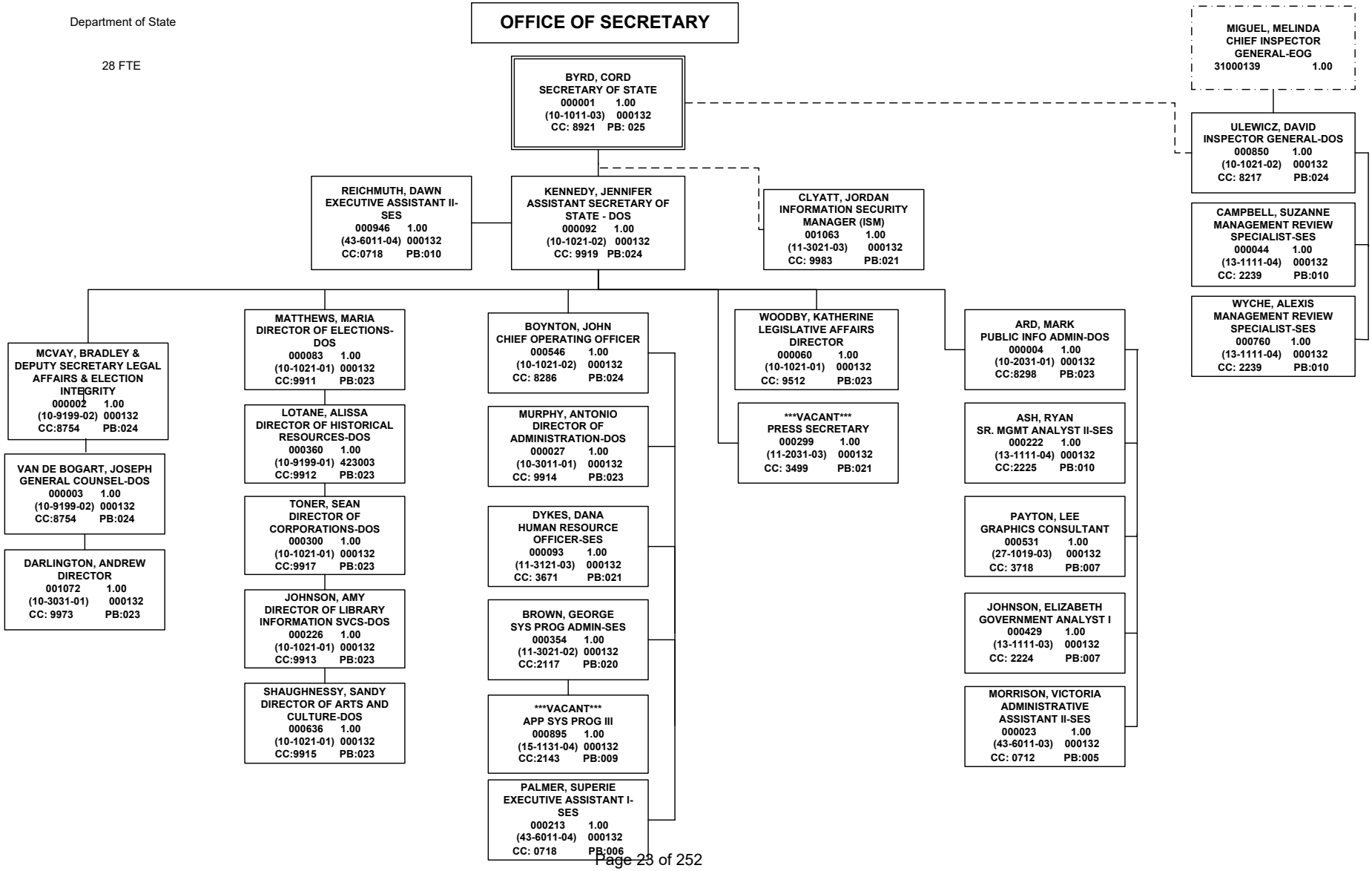
Department of State
Organizational Units
(457.00 FTE)



Department of State

28 FTE

OFFICE OF SECRETARY



Department of State

4 FTE

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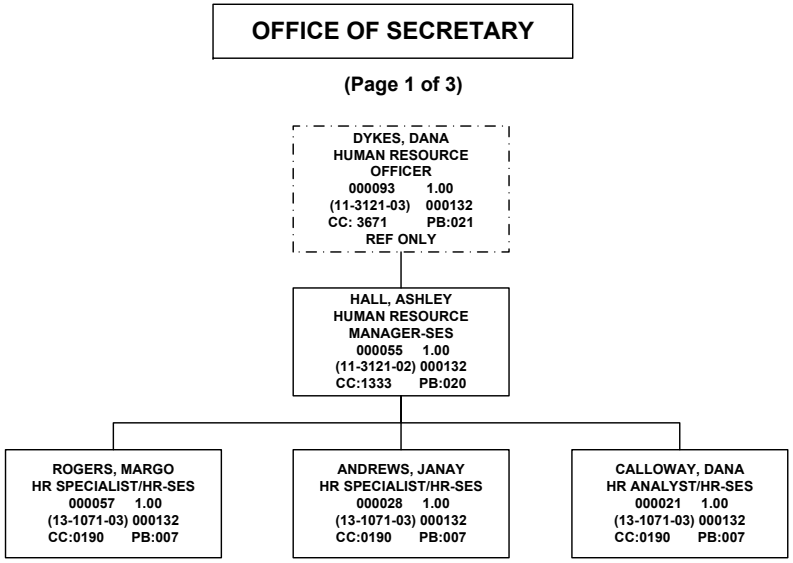
(Page 1 of 3)

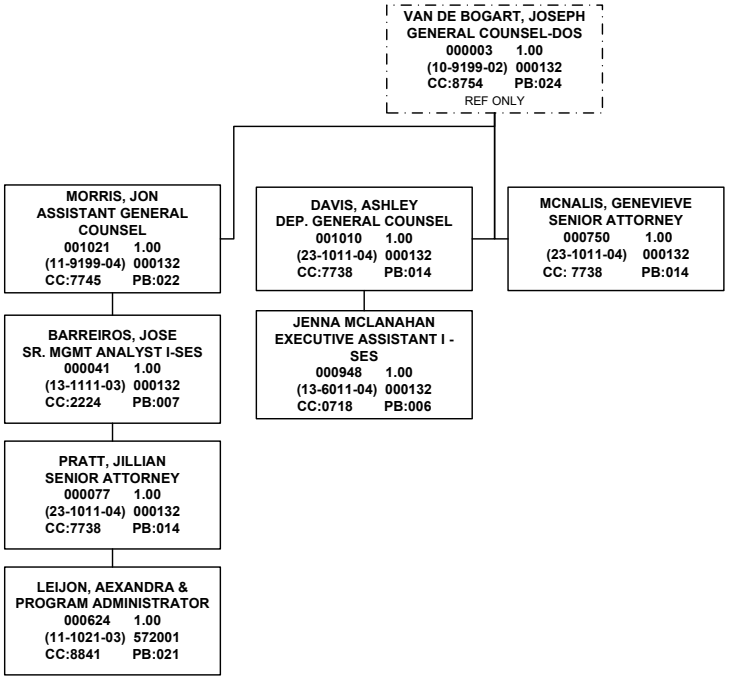


Department of State

7 FTE

OFFICE OF SECRETARY

(Page 2 of 3)



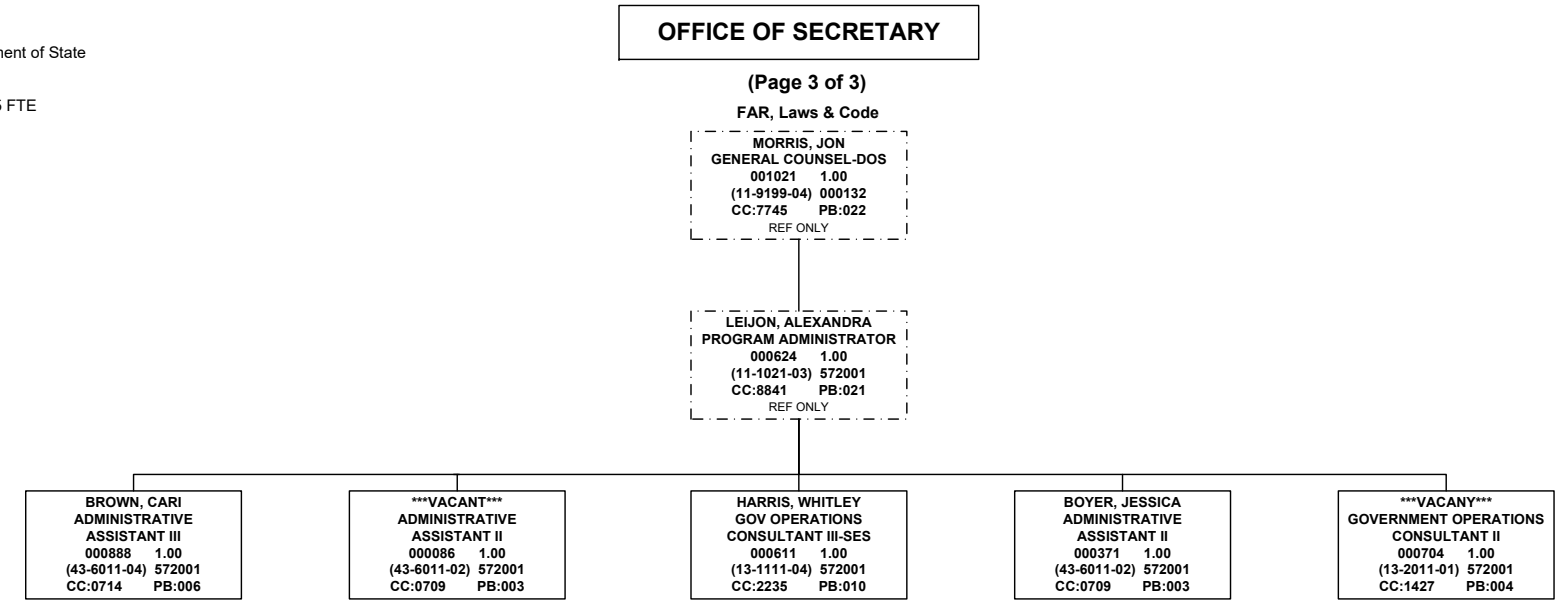
Department of State

5 FTE

OFFICE OF SECRETARY

(Page 3 of 3)

FAR, Laws & Code

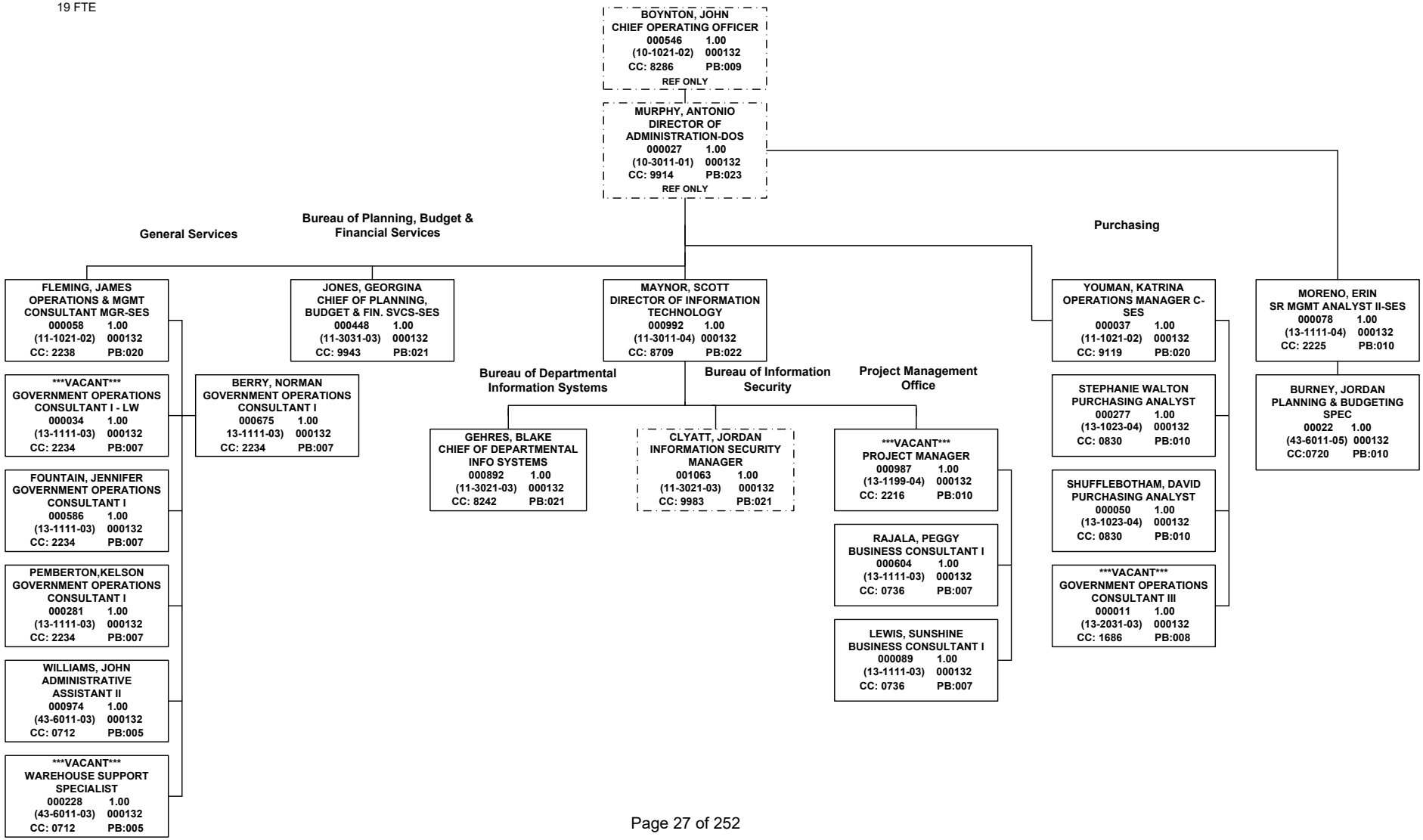


Department of State

19 FTE

DIVISION OF ADMINISTRATIVE SERVICES

Office of Division Director

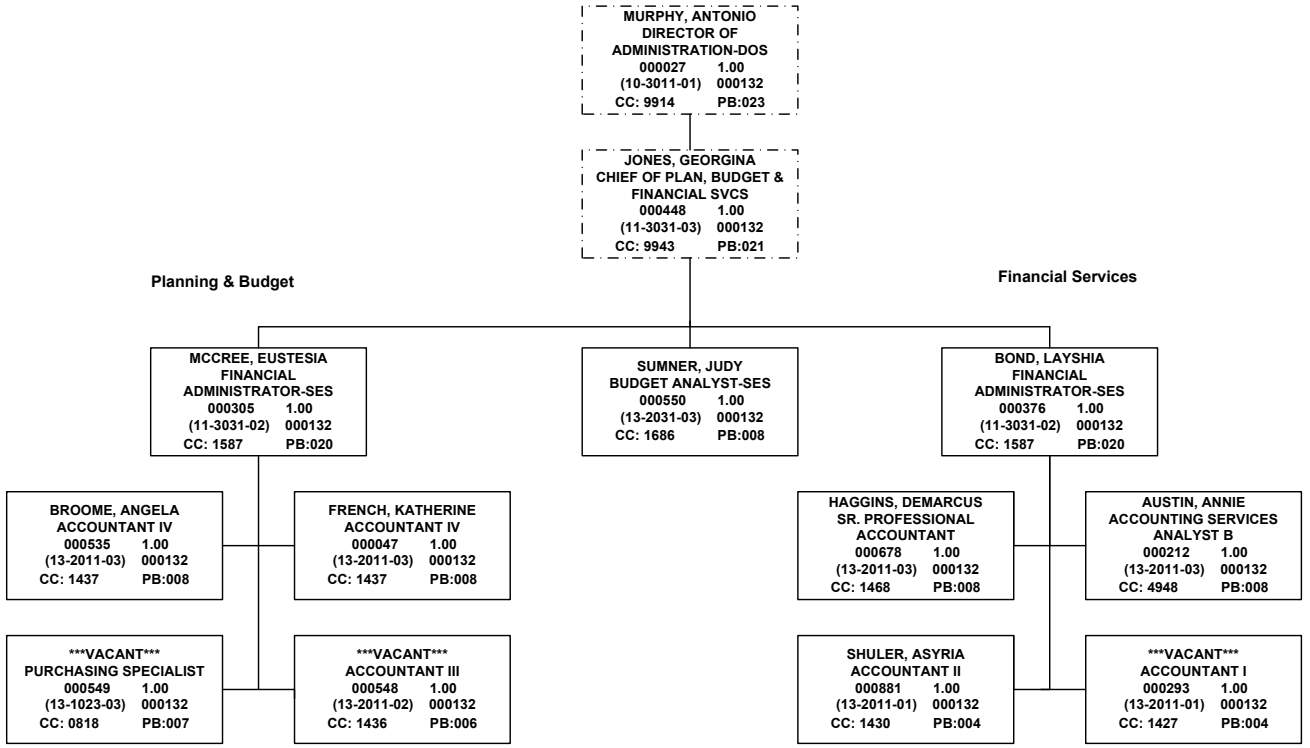


Department of State

11 FTE

DIVISION OF ADMINISTRATIVE SERVICES

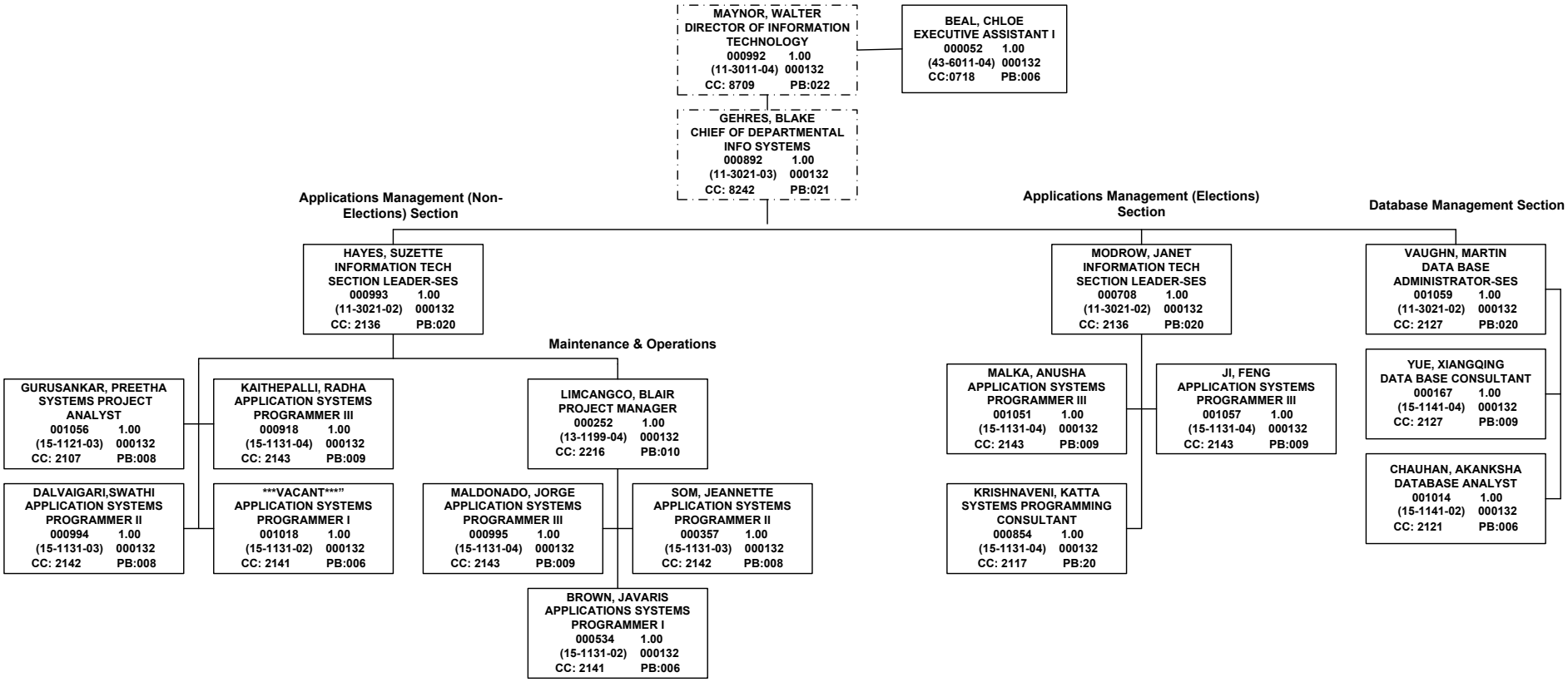
Bureau of Planning, Budget & Financial Services



Department of State

17 FTE

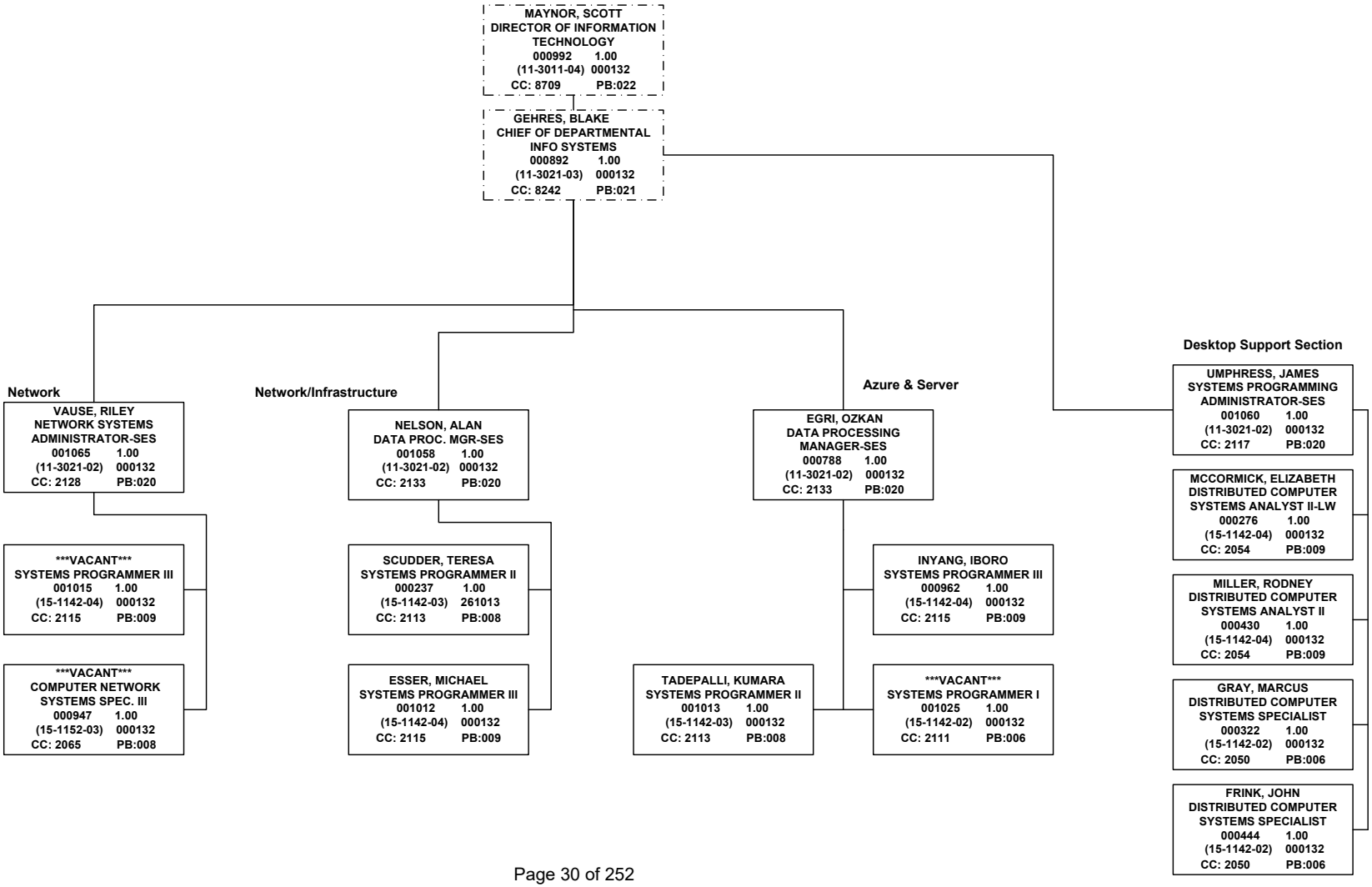
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
(Page 1 of 2)



Department of State

15 FTE

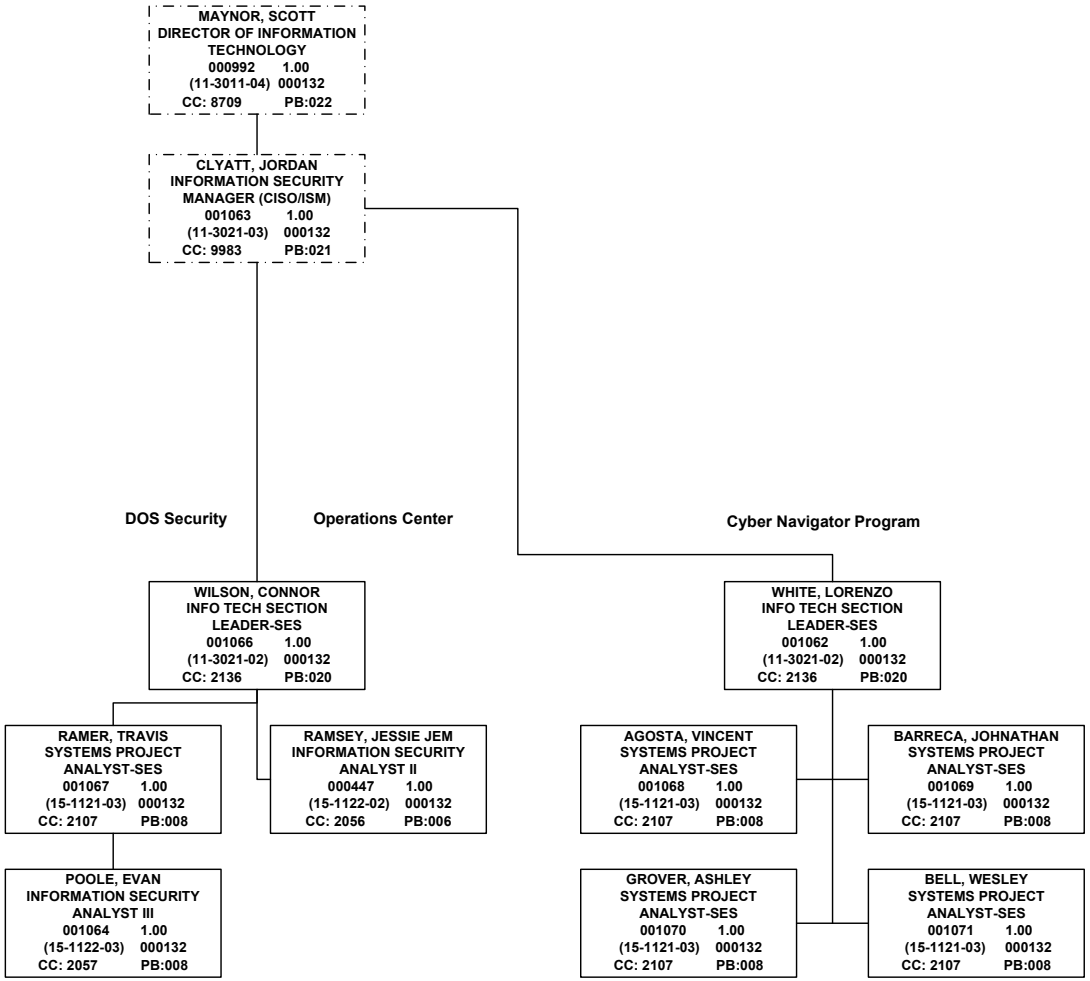
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
(Page 2 of 2)



Department of State

9 FTE

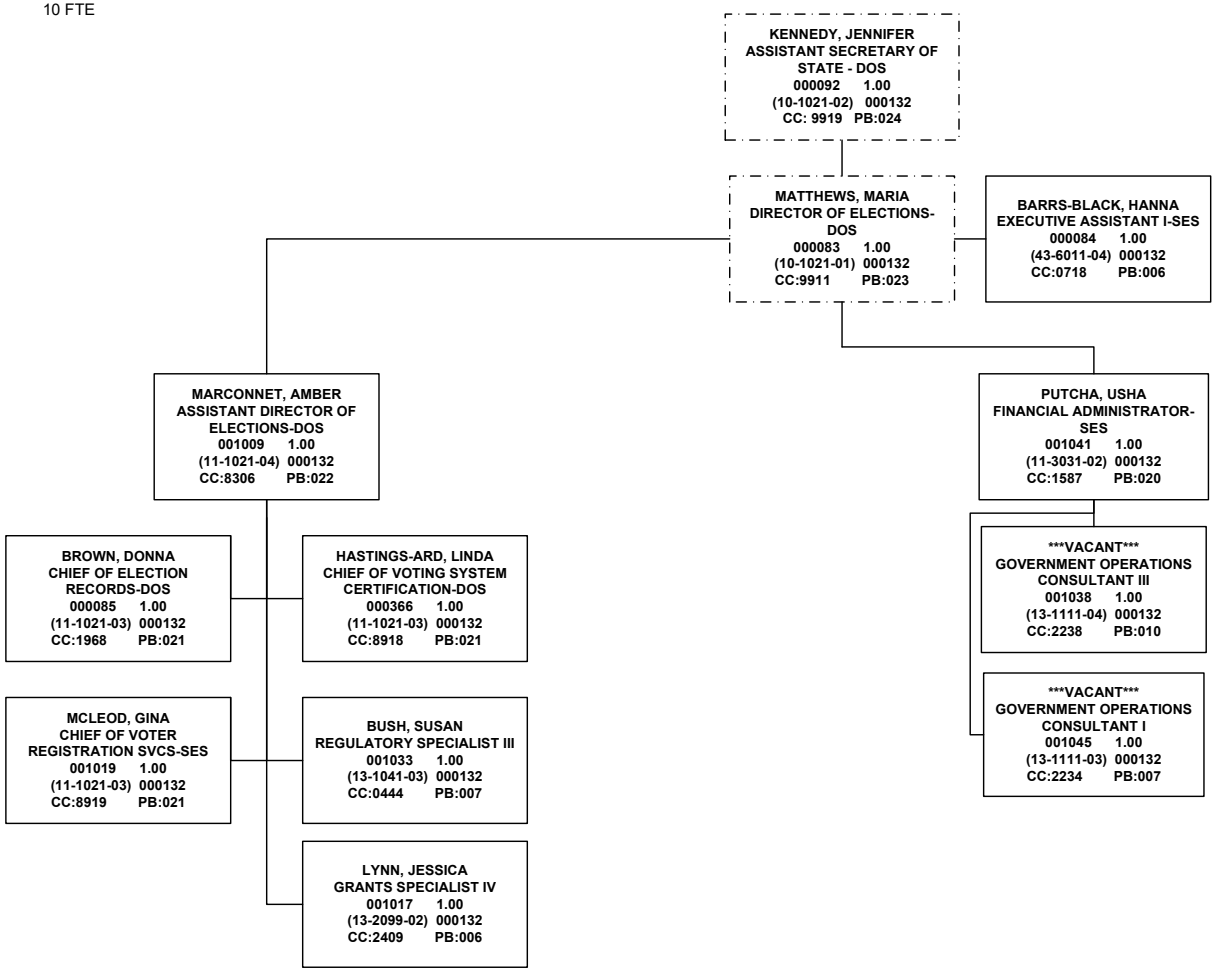
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Information Security



Department of State

10 FTE

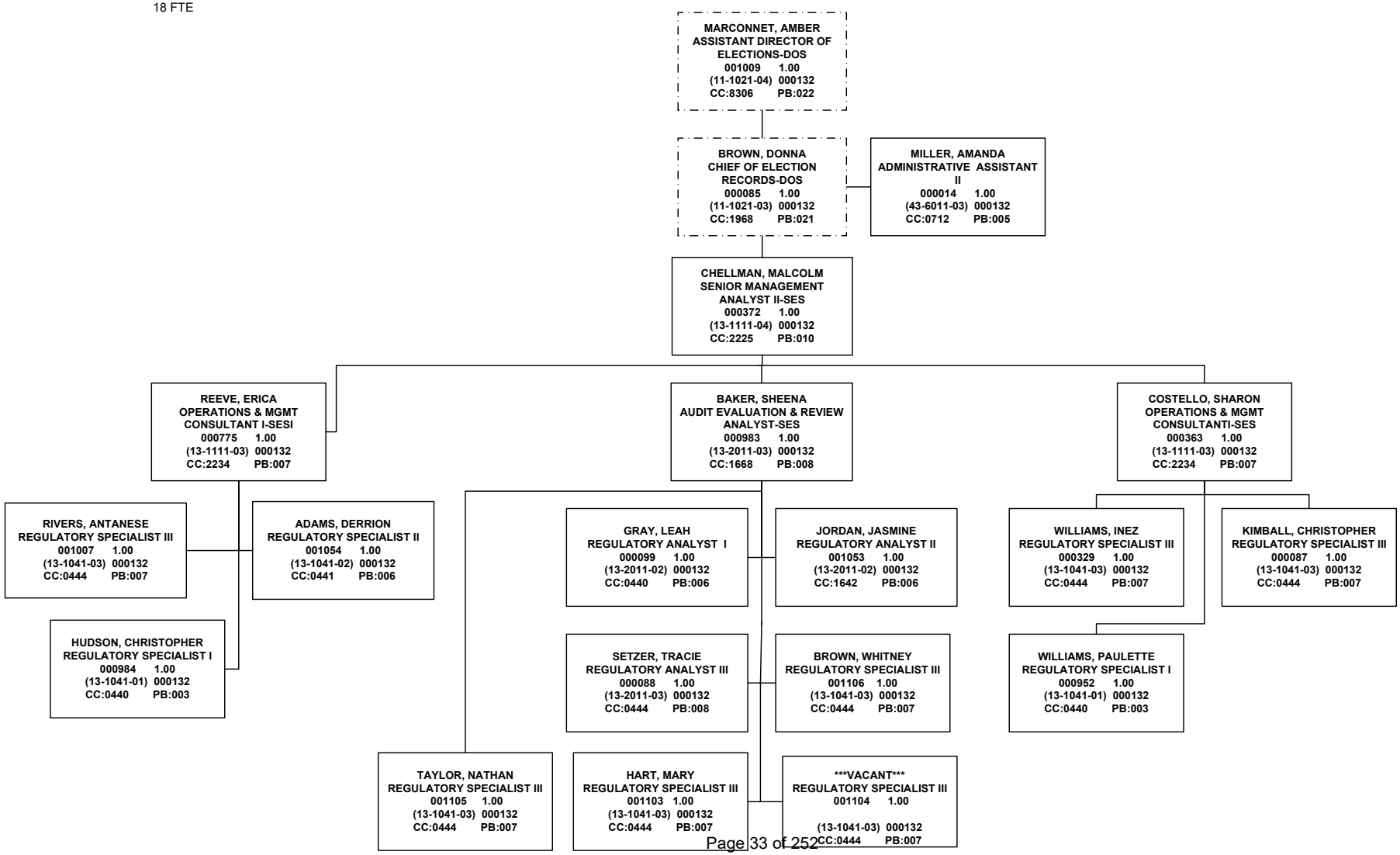
DIVISION OF ELECTIONS
Office of Division Director



Department of State

18 FTE

DIVISION OF ELECTIONS
Bureau of Election Records

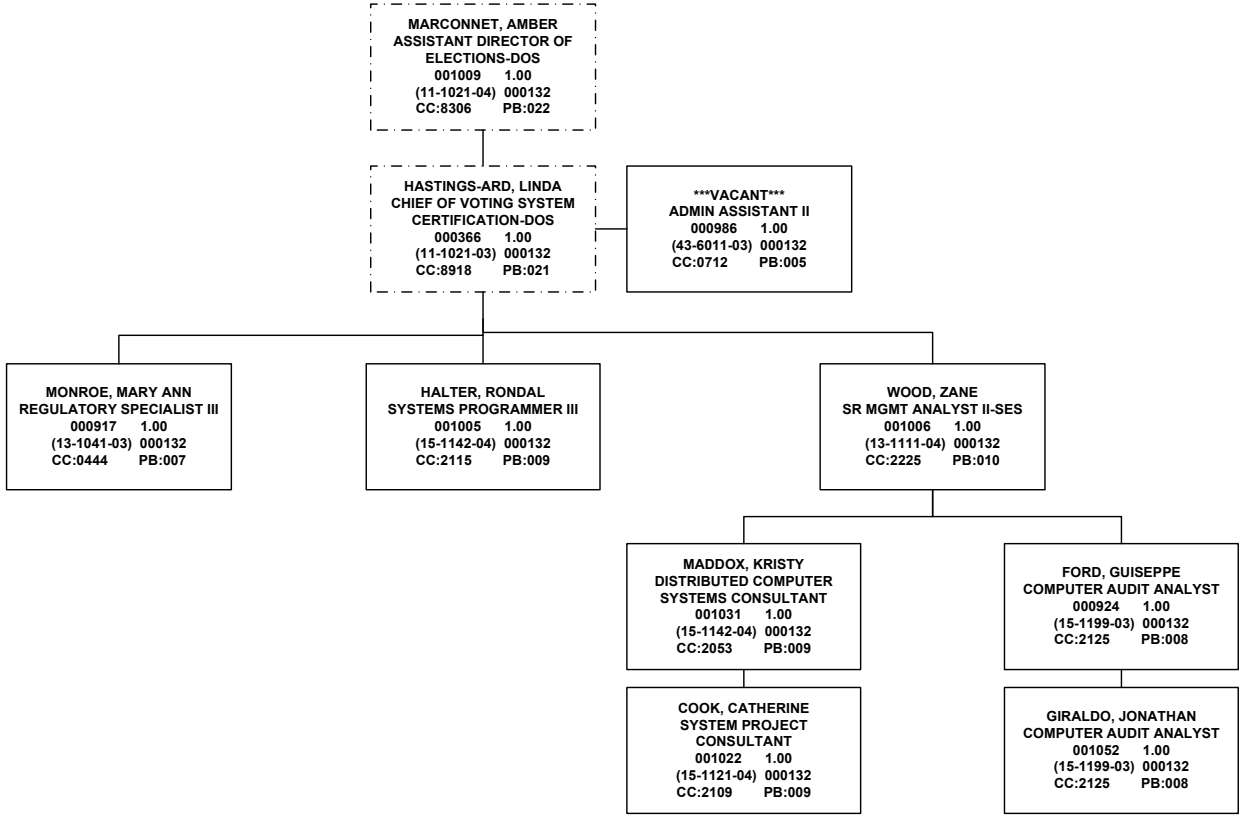


10/1/2024

Department of State

8 FTE

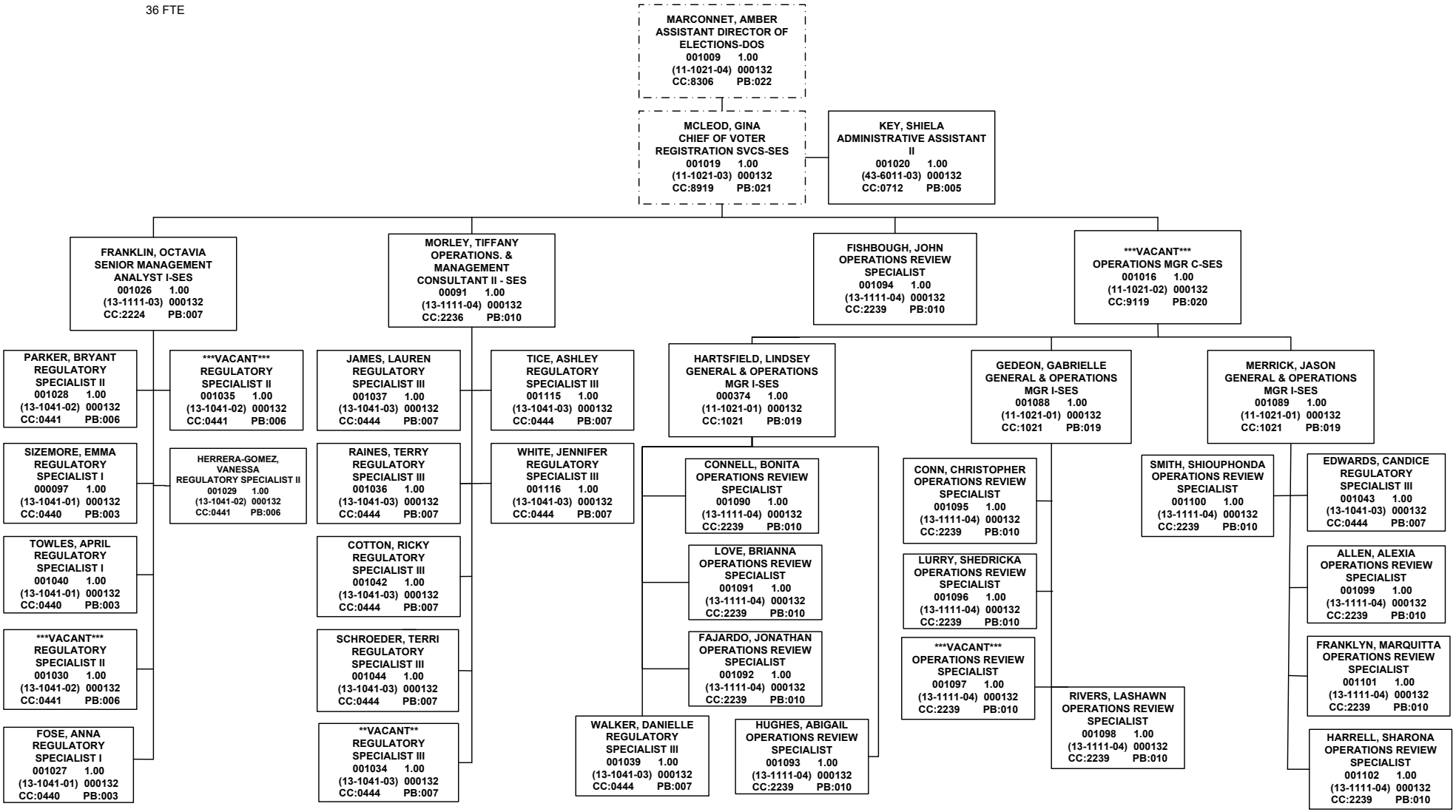
DIVISION OF ELECTIONS
Bureau of Voting Systems Certification



Department of State

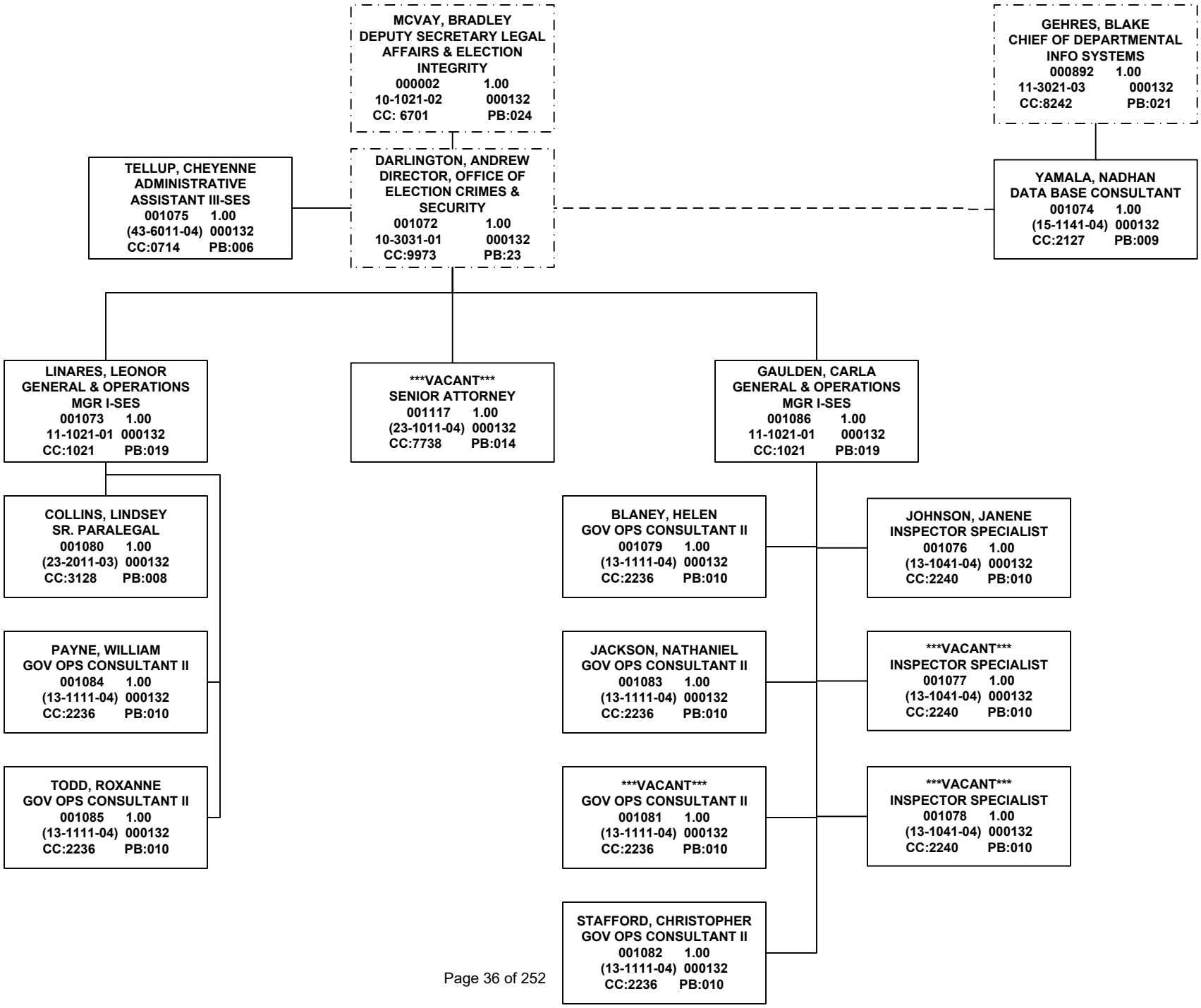
36 FTE

DIVISION OF ELECTIONS
Bureau of Voter Registration Services



OFFICE OF ELECTION CRIMES & SECURITY

15 FTE

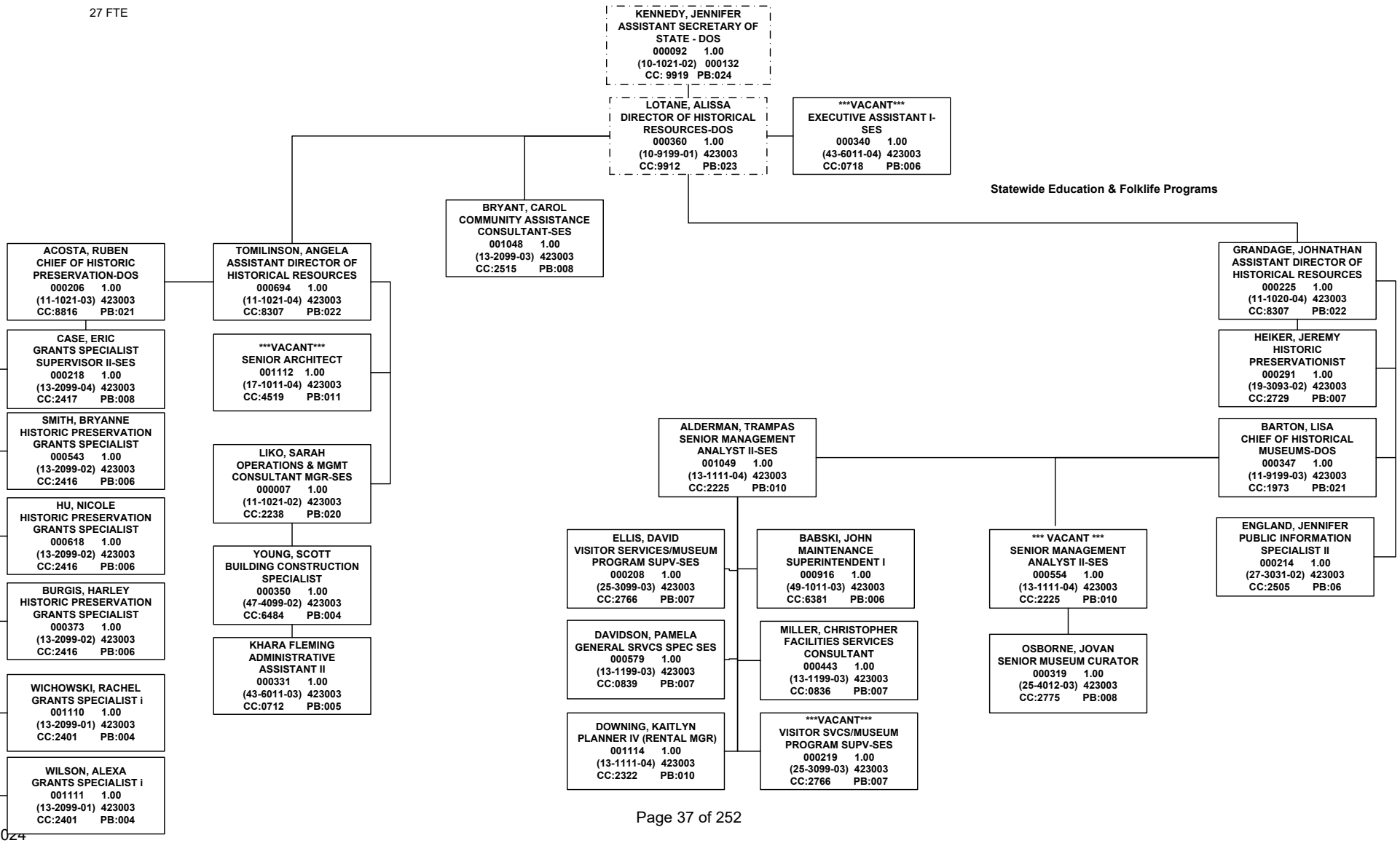


Department of State

27 FTE

DIVISION OF HISTORICAL RESOURCES

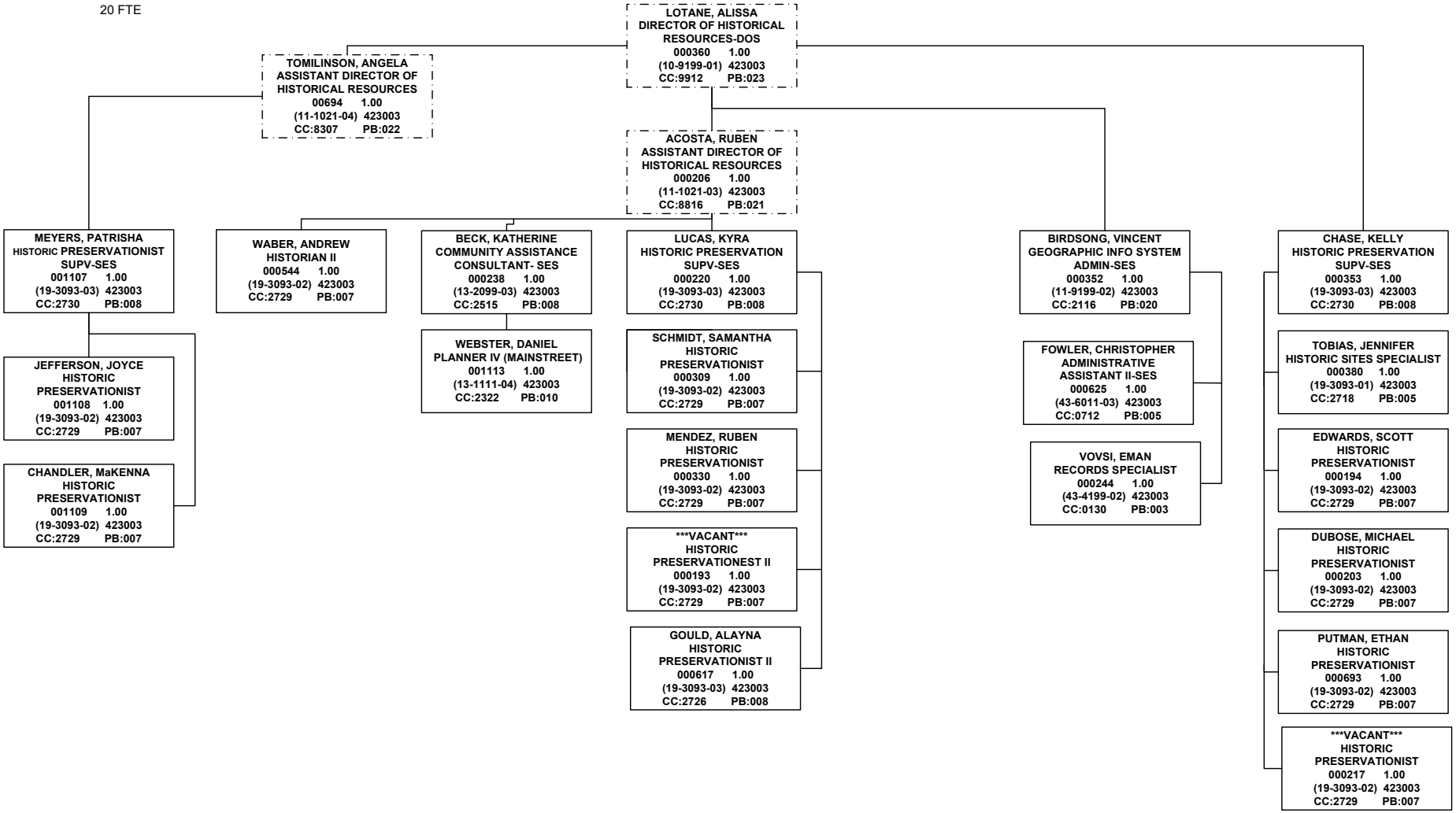
Office of Division Director



DIVISION OF HISTORICAL RESOURCES
Bureau of Historic Preservation

Department of State

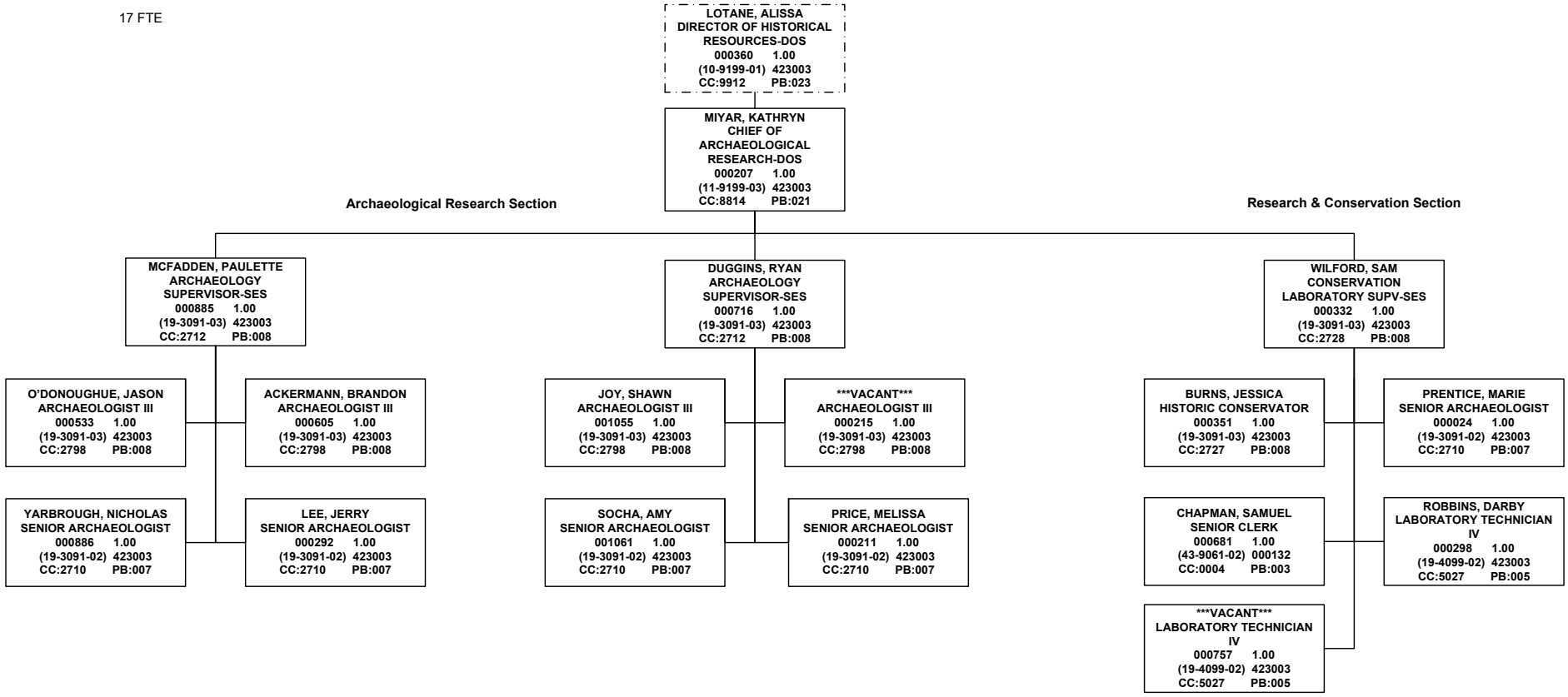
20 FTE



Department of State

17 FTE

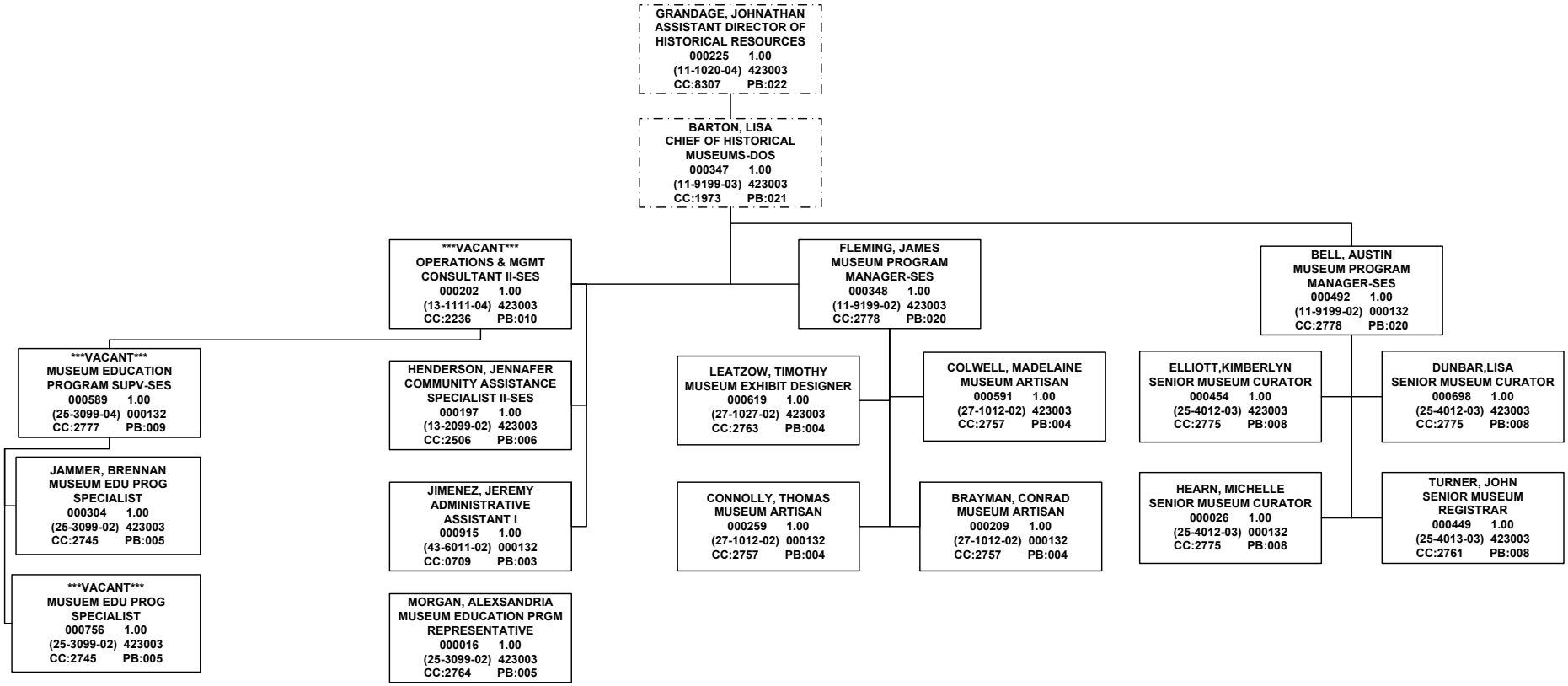
DIVISION OF HISTORICAL RESOURCES
Bureau of Archaeological Research



DIVISION OF HISTORICAL RESOURCES
Bureau of Historical Museums

Department of State

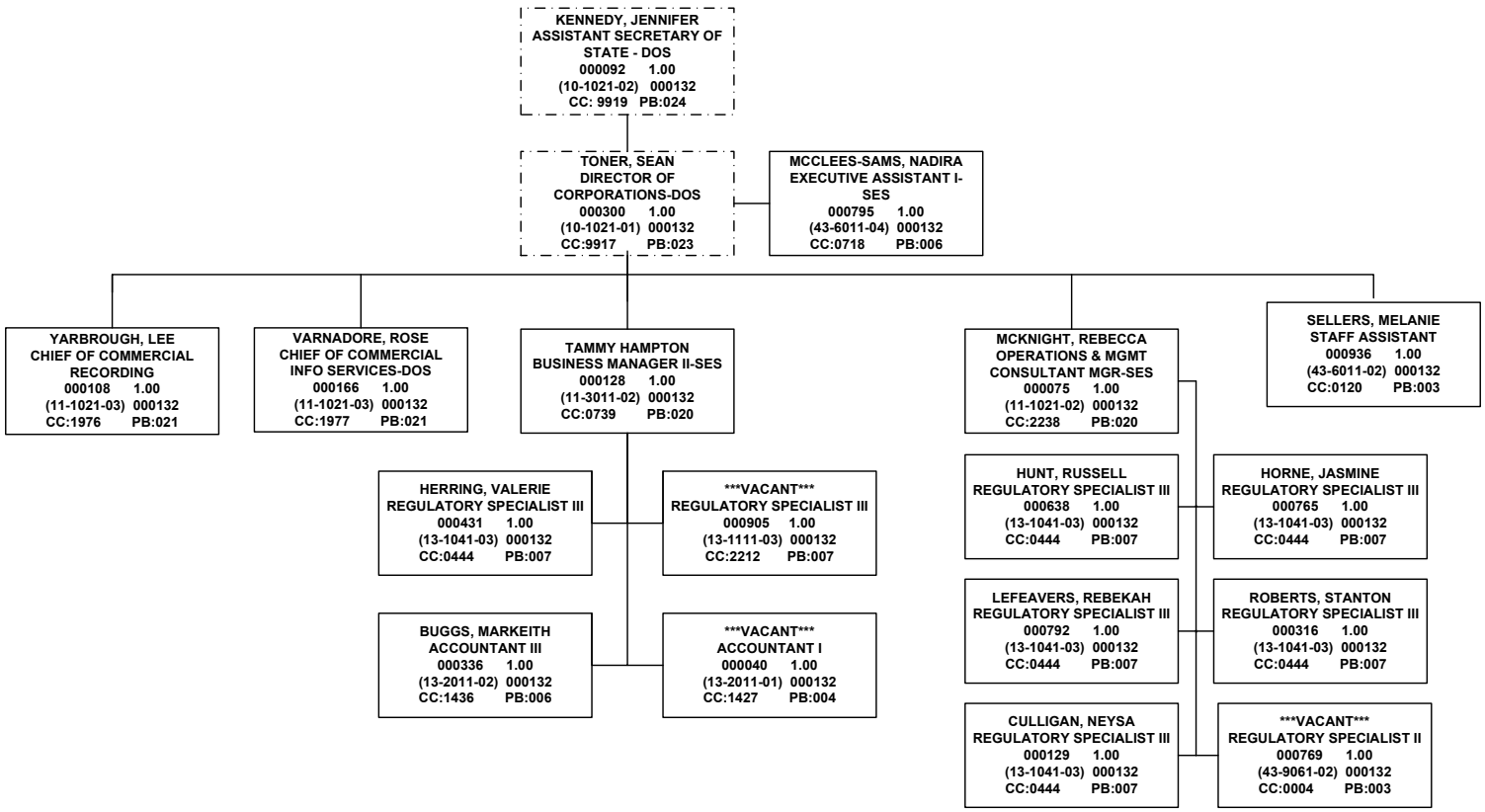
17 FTE



Department of State

16 FTE

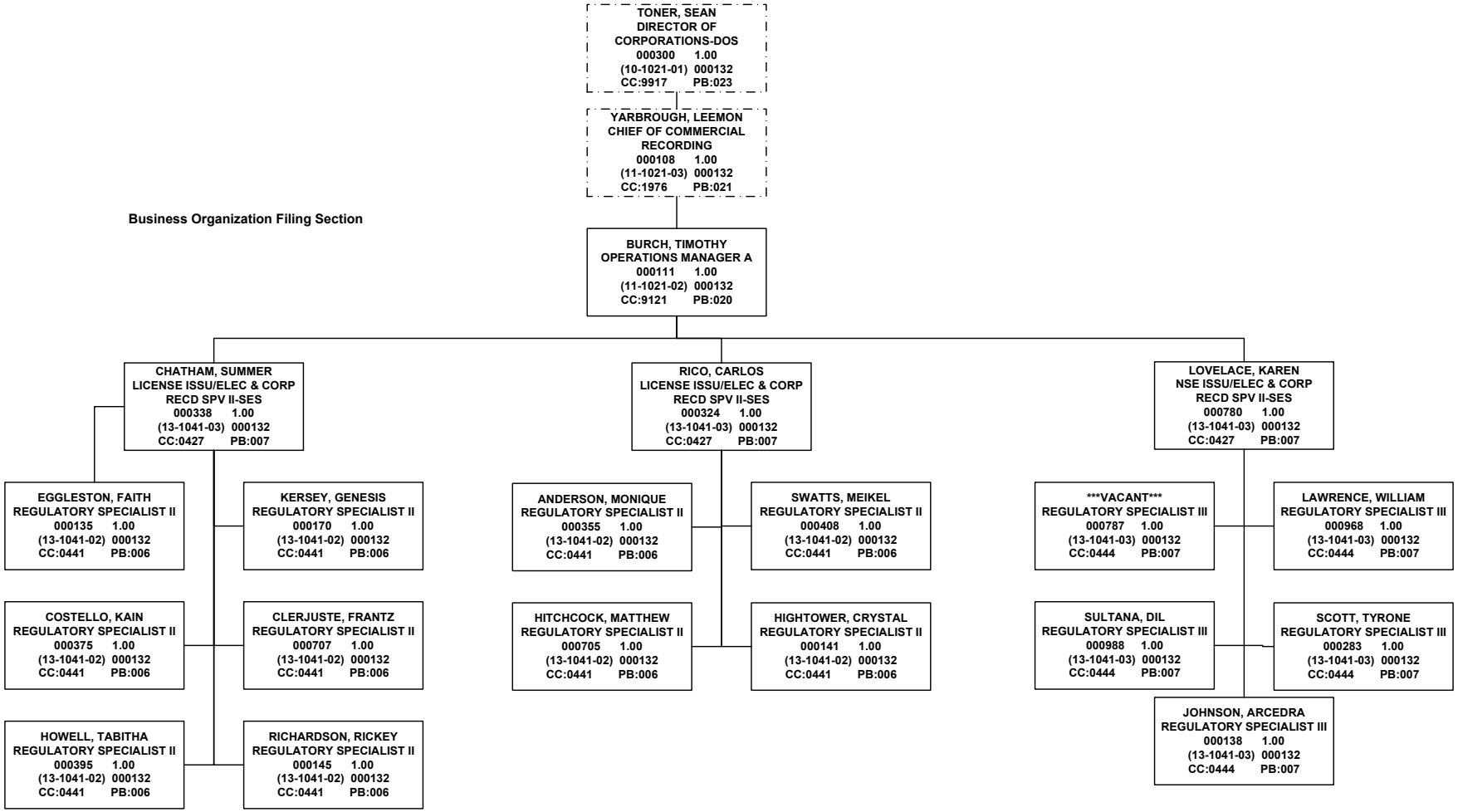
DIVISION OF CORPORATIONS
Office of Division Director



Department of State

19 FTE

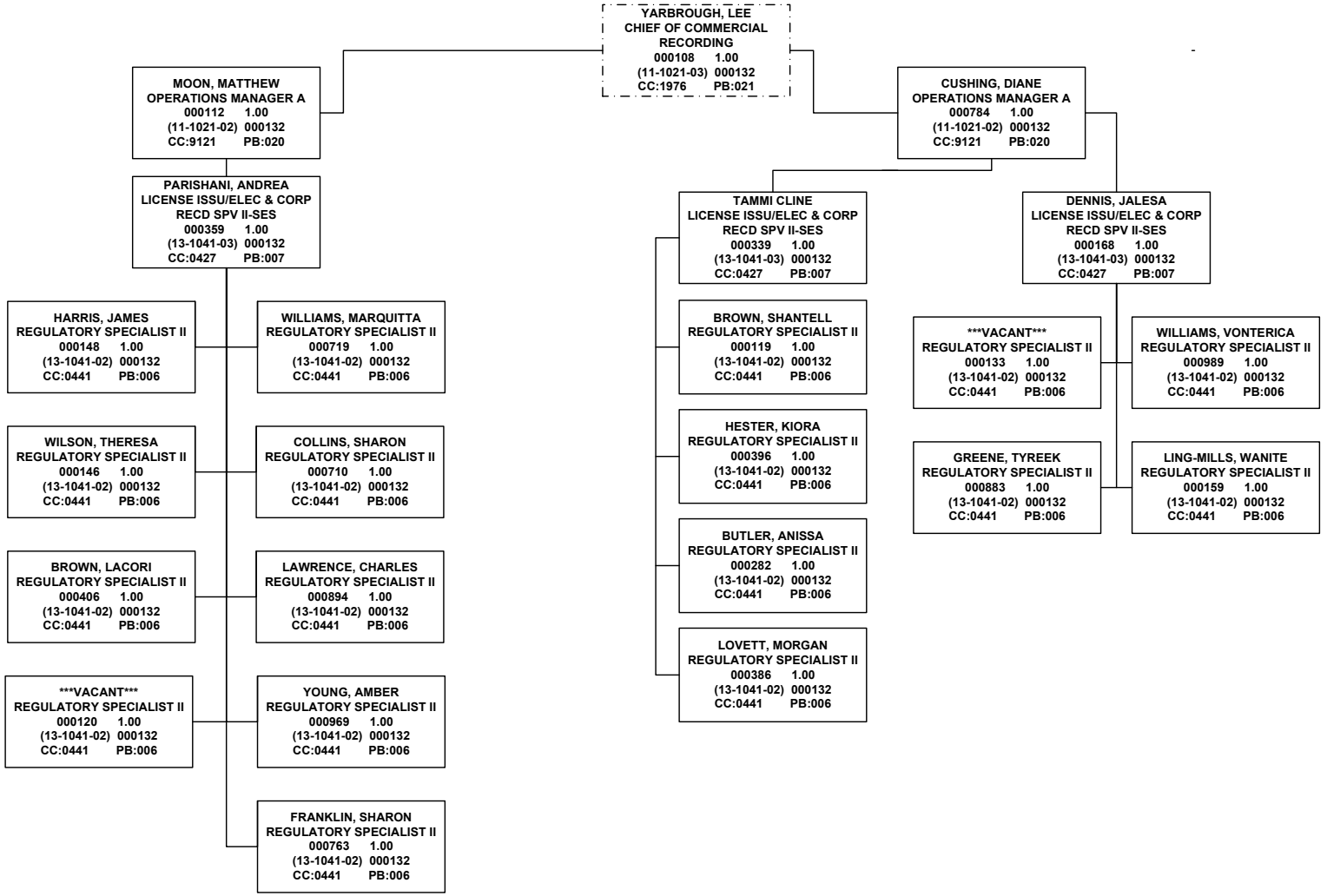
DIVISION OF CORPORATIONS
Bureau of Commercial Recording
(Page 1 of 3)



Department of State

22 FTE

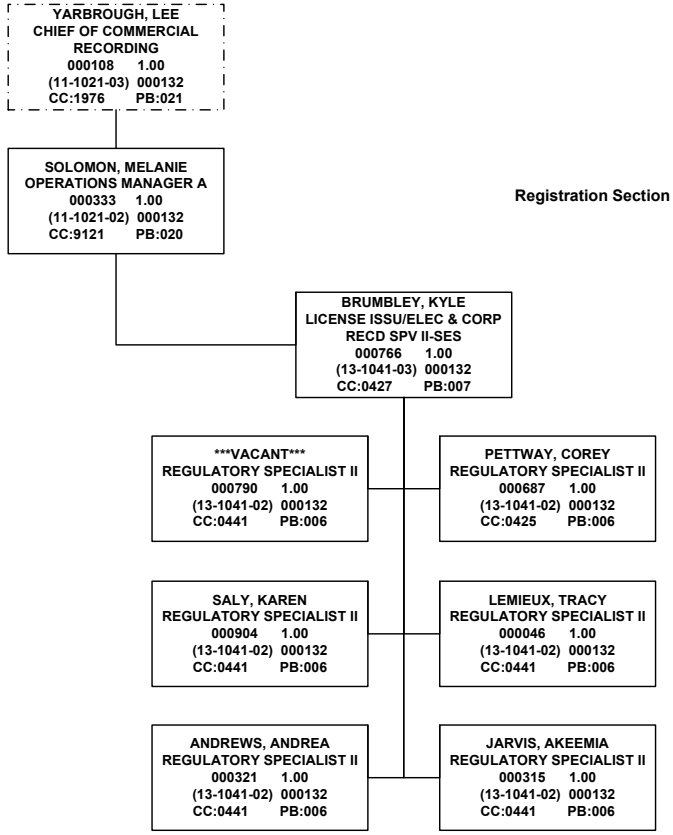
DIVISION OF CORPORATIONS
Bureau of Commercial Recording
(Page 2 of 3)



Department of State

8 FTE

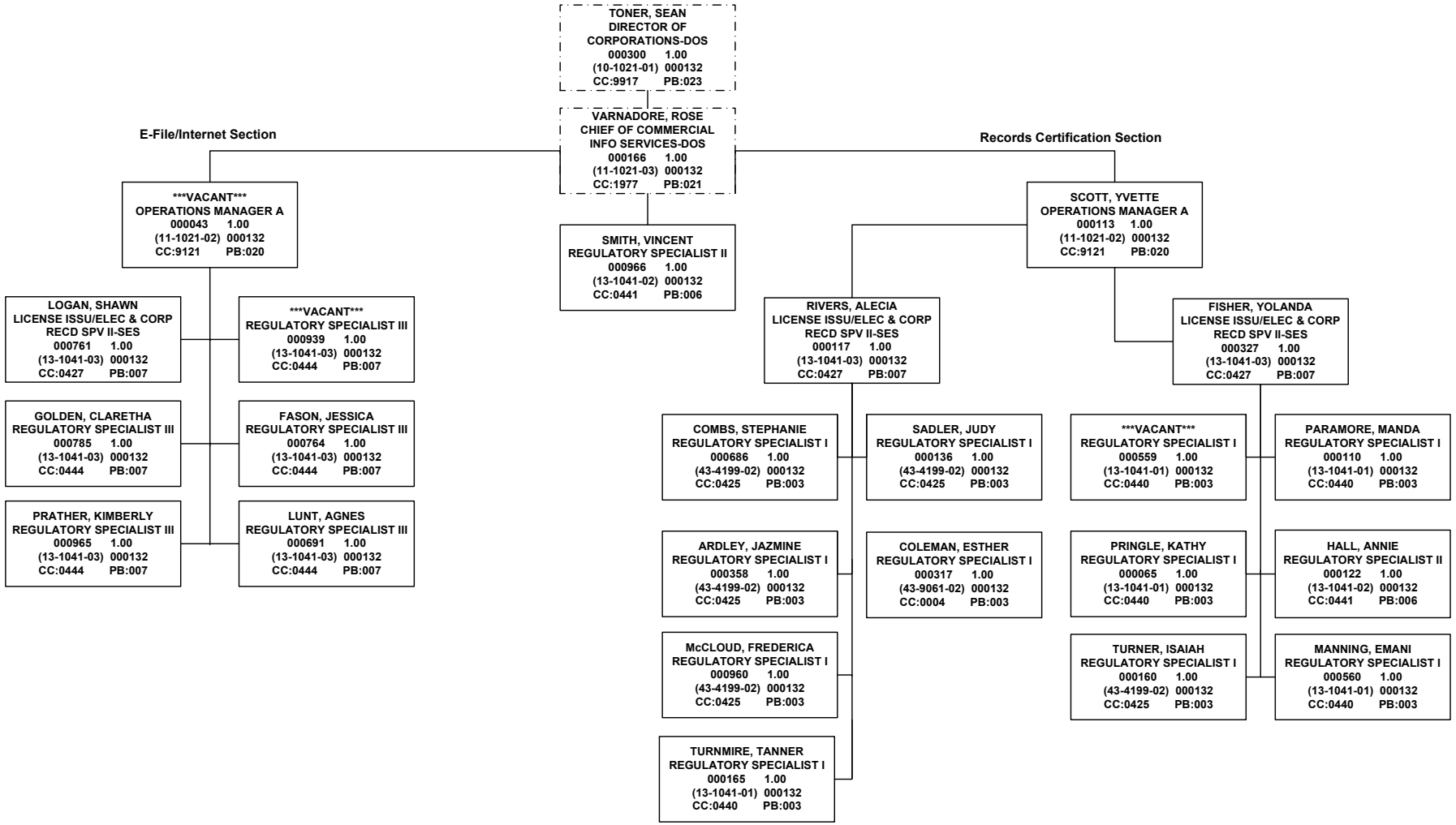
DIVISION OF CORPORATIONS
Bureau of Commercial Recording
(Page 3 of 3)



Department of State

23 FTE

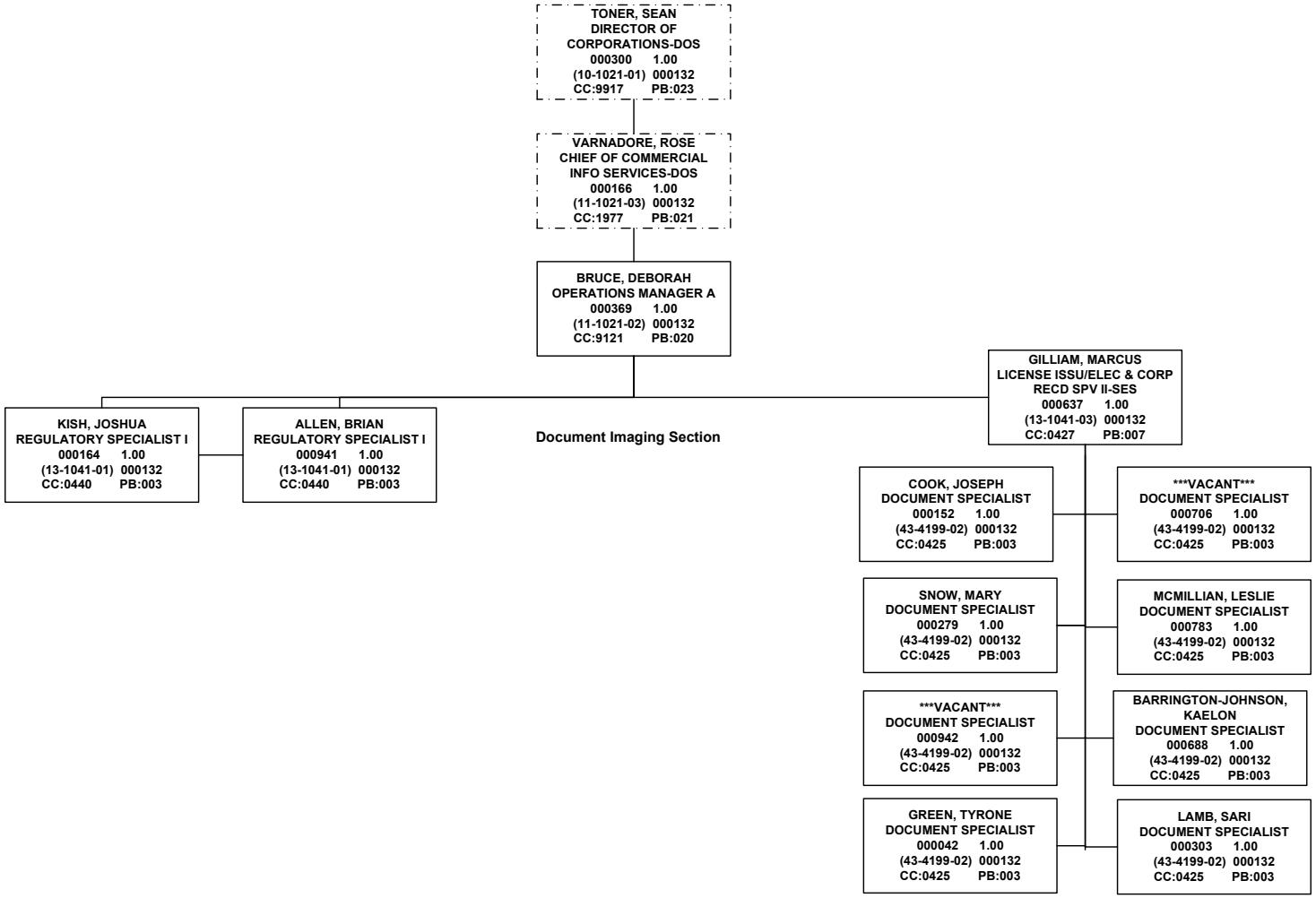
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
(Page 1 of 2)



Department of State

12 FTE

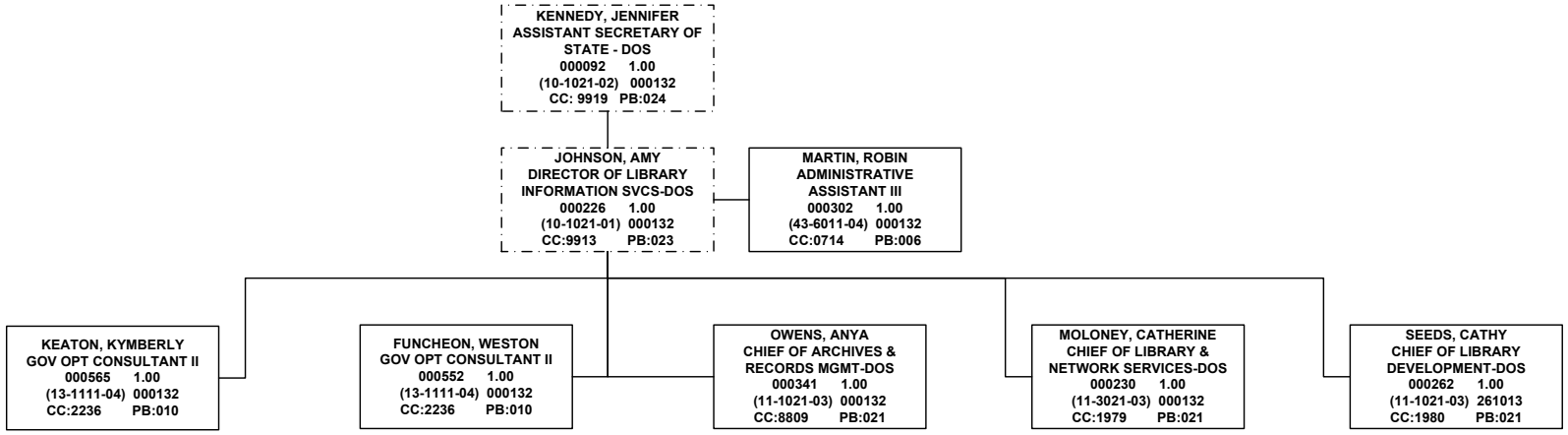
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
(Page 2 of 2)



Department of State

6 FTE

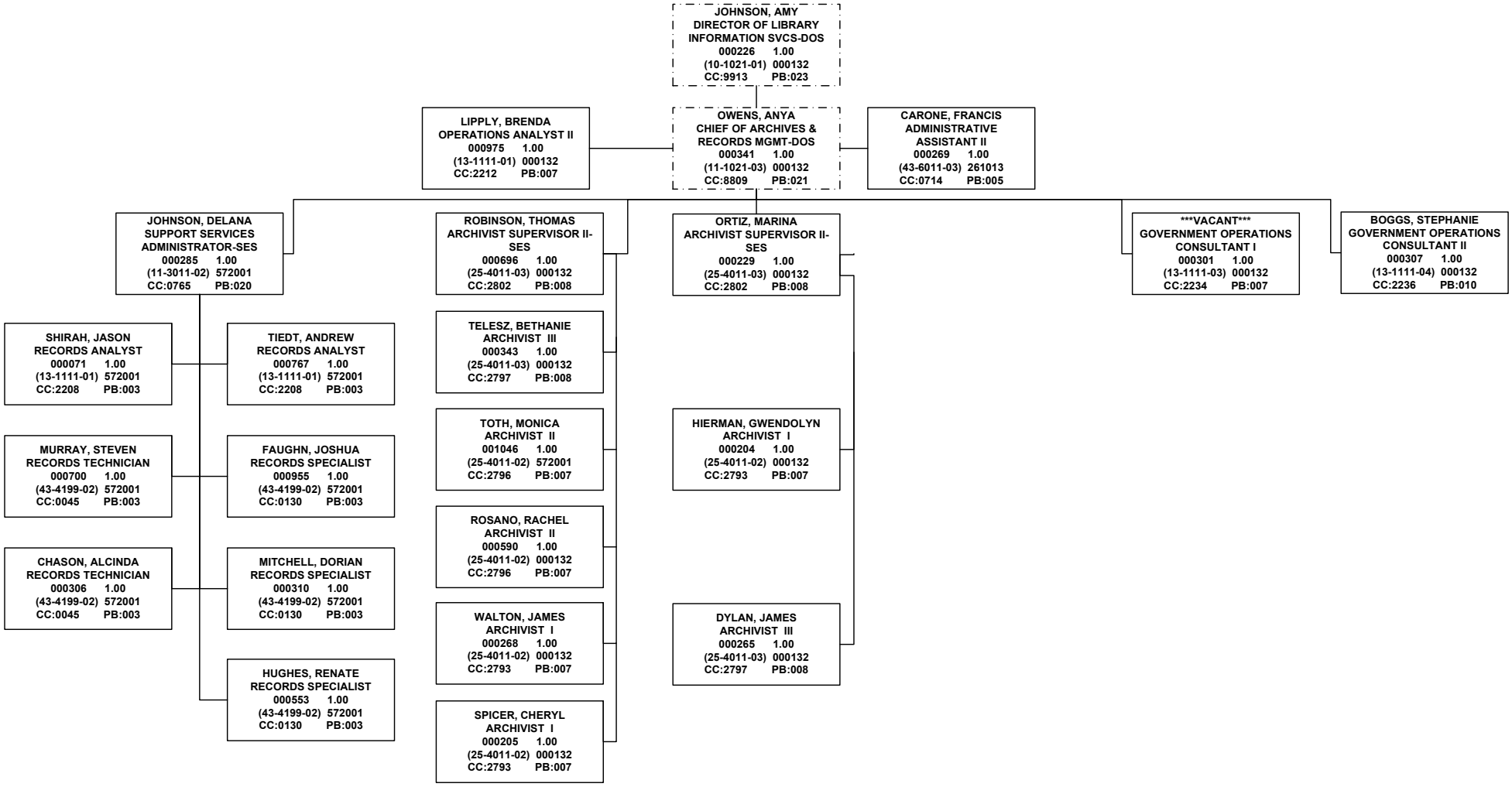
DIVISION OF LIBRARY AND INFORMATION SERVICES
Office of Division Director



Department of State

21 FTE

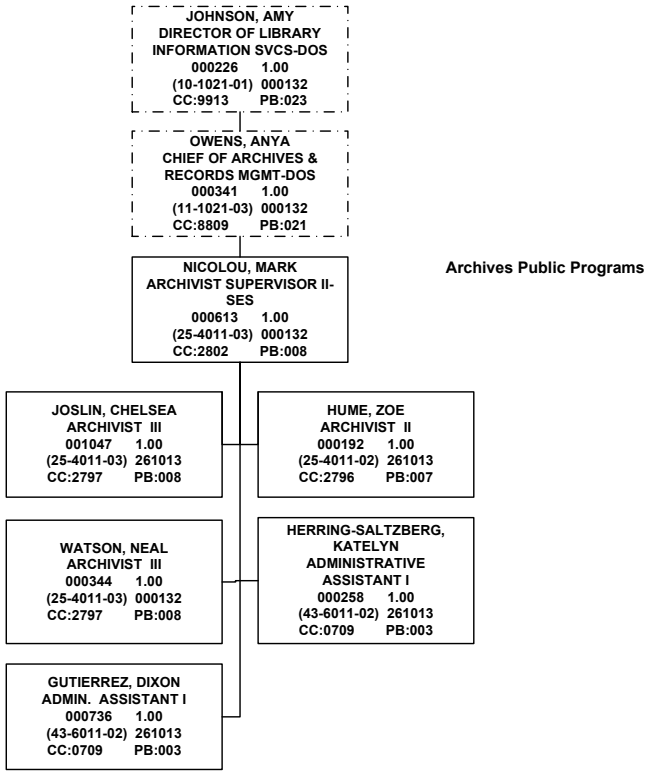
DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Archives & Records Management
(Page 1 of 2)



Department of State

6 FTE

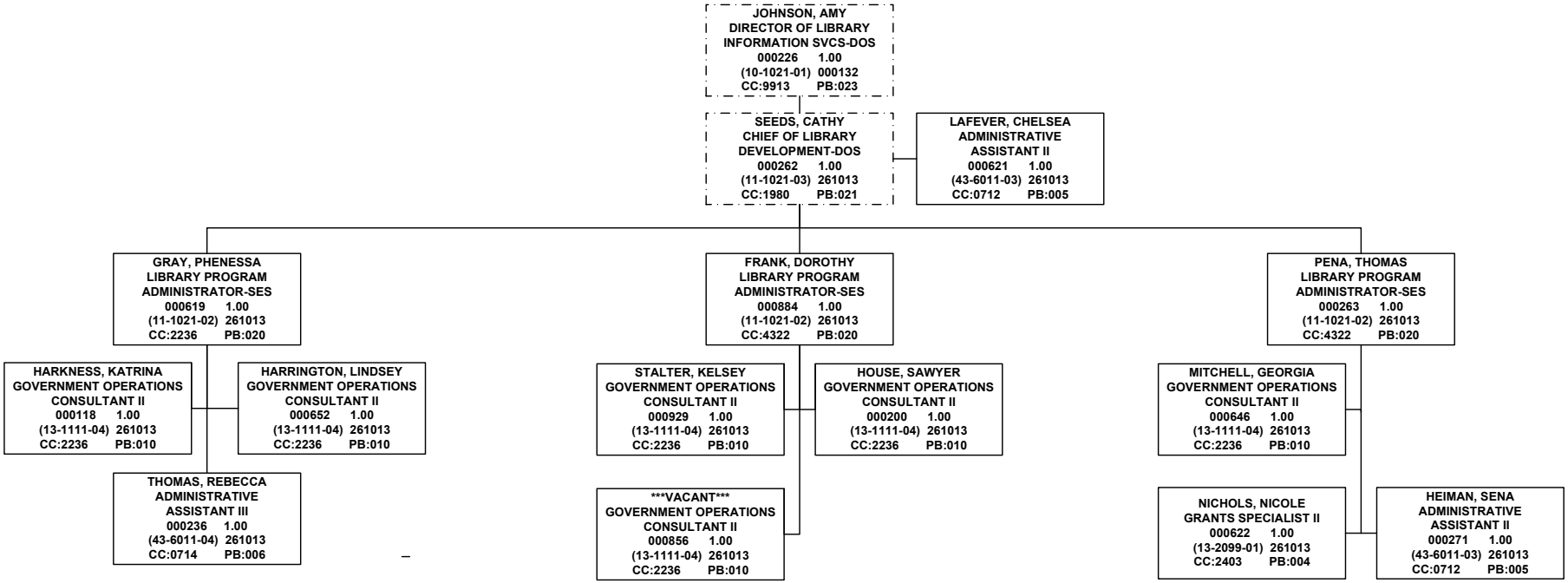
DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Archives & Records Management
(Page 2 of 2)



Archives Public Programs

Department of State
13 FTE

DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Library Development



Department of State

13 FTE

DIVISION OF LIBRARY AND INFORMATION SERVICES

Bureau of Library & Network Services

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

PATEL, JOOHI
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

*****VACANT*****
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

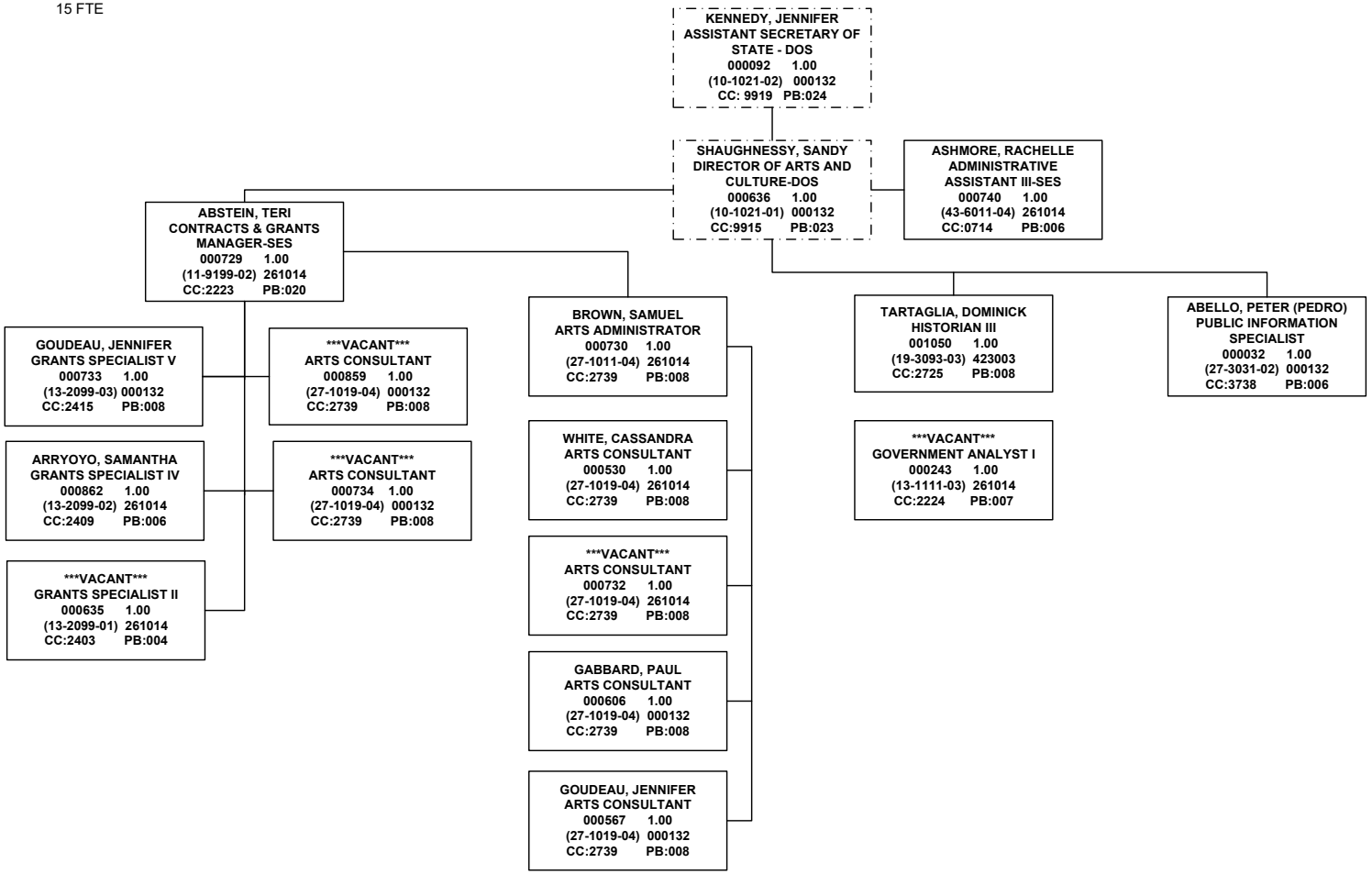
ATKINS, KIMBERLY
LIBRARY TECHNICAL ASSISTANT II
000069 1.00
(25-4031-01) 261013
CC:4304 PB:002

Department of State

15 FTE

DIVISION OF ARTS AND CULTURE

Office of Division Director



STATE, DEPARTMENT OF

SECTION I: BUDGET	FISCAL YEAR 2023-24 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	130,551,900	89,952,788
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	7,215,400	-5,997,000
FINAL BUDGET FOR AGENCY	137,767,300	83,955,788

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				0
Elections Assistance And Oversight * **Number of elections work activities conducted.**	3,912,371	4.03	15,776,400	
Historical Resource Protection * **Number of historic resources and archaeology activities conducted.**	2,595,200	5.56	14,435,488	57,113,929
Business Filings * **Number of business transactions processed.**	4,648,270	3.34	15,510,203	
State Library * **Number of state library, archives, and records managment activities conducted.**	105,342	349.19	36,784,356	9,800,000
State Historic Museums * **Number of museum activities conducted**	371	10,467.05	3,883,274	
Cultural Program Education And Outreach * **Number of attendees at webinars, workshops, presentations, cultural events, exhibits facilitated**	48,798,361	0.85	41,491,365	16,783,059
TOTAL			127,881,086	83,696,988

SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER			
REVERSIONS		9,731,652	258,800
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		137,612,738	83,955,788

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:

DEPARTMENT: 45	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	137,767,300	83,955,788
TOTAL BUDGET FOR AGENCY (SECTIONS II + III):	137,612,738	83,955,788
DIFFERENCE:	154,562	
(MAY NOT EQUAL DUE TO ROUNDING)		

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 2024 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 2025-2026 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 2025-2026 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		$0.00
d	Cultural Facilities Grants	B		List provided to the Legislature by December.
e	Historical Resources Grants	B		Ranked list scheduled for completion November 2024
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)		$66,400,000.00	

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 2025-2026

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2025 - 2026

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

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	1,891,664.55	(A)		1,891,664.55	
ADD: Other Cash (See Instructions)	0	(B)		0	
ADD: Investments	9,406,666.35	(C)	5,689,533.54	15,096,199.89	
ADD: Outstanding Accounts Receivable	90,236.84	(D)		90,236.84	
ADD: Anticipated Revenue	5,893,507.37	(E)		5,893,507.37	
Total Cash plus Accounts Receivable	**17,282,075.11**	(F)	**5,689,533.54**	**22,971,608.65**	
LESS Allowances for Uncollectibles	20.00	(G)		20.00	
LESS Approved "A" Certified Forwards	1,026,623.55	(H)		1,026,623.55	
Approved "B" Certified Forwards	730,940.16	(H)		730,940.16	
Approved "FCO" Certified Forwards	5,063,244.00	(H)		5,063,244.00	
LESS: Other Accounts Payable (Nonoperating)	5,552.44	(I)	182.41	5,734.85	
LESS: _____		(J)		0	
Unreserved Fund Balance, 07/01/24	**10,455,694.96**	(K)	**5,689,351.13**	**16,145,046.09**	**

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 2024

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

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, 07/01/24		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**10,401,386.43**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #B4500001 - Correcting Investments	5,689,533.54	(C)
SWFS Adjustment #B4500021 - Correcting Nonoperating	(182.41)	(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(730,940.16)	(D)
Approved FCO Certified Forward per LAS/PBS	(5,063,244.00)	(D)
A/P not C/F-Operating Categories	13,644.51	(D)
Adjustment to PY Accounts Payable	(65,509.37)	(D)
Anticipated Revenue	5,893,507.37	(D)
Compensated Absenses	6,850.18	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**16,145,046.09**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**16,145,046.09**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Grants and Donations Trust Fund

(2339)

FY 2025-2026

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2025 - 2026

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

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	353,158.77	(A)		353,158.77	
ADD: Other Cash (See Instructions)		(B)		0	
ADD: Investments		(C)		0	
ADD: Outstanding Accounts Receivable		(D)		0	
ADD: _____		(E)		0	
Total Cash plus Accounts Receivable	**353,158.77**	(F)	**0**	**353,158.77**	
LESS Allowances for Uncollectibles	10,042.44	(G)		10,042.44	
LESS Approved "A" Certified Forwards		(H)		0	
Approved "B" Certified Forwards		(H)		0	
Approved "FCO" Certified Forwards		(H)		0	
LESS: Other Accounts Payable (Nonoperating)	5.44	(I)		5.44	
LESS: _____		(J)		0	
Unreserved Fund Balance, 07/01/24	**343,110.89**	(K)	**0**	**343,110.89**	**

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 2024

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

Department Title:	Department of State
Trust Fund Title:	Grants & Donations Trust Fund
LAS/PBS Fund Number:	2339

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**343,110.89**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment # and Description		(C)
SWFS Adjustment # and Description		(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:	**343,110.89**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**343,110.89**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

Department Title:	Department of State
Trust Fund Title:	Grants & Donations Trust Fund
LAS/PBS Fund Number:	2339

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**343,110.89**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment # and Description		(C)
SWFS Adjustment # and Description		(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:	**343,110.89**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**343,110.89**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Land Acquisition Trust Fund

(2423)

FY 2025-2026

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2025 - 2026

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

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	3,144,780.15	(A)		3,144,780.15	
ADD: Other Cash (See Instructions)		(B)		0	
ADD: Investments		(C)		0	
ADD: Outstanding Accounts Receivable	651,897.83	(D)	(328,063.69)	323,834.14	
ADD: _____		(E)		0	
Total Cash plus Accounts Receivable	**3,796,677.98**	(F)	**(328,063.69)**	**3,468,614.29**	
LESS Allowances for Uncollectibles	0	(G)		0	
LESS Approved "A" Certified Forwards	483,244.96	(H)		483,244.96	
Approved "B" Certified Forwards	1,014,543.24	(H)		1,014,543.24	
Approved "FCO" Certified Forwards	0	(H)		0	
LESS: Other Accounts Payable (Nonoperating)	0	(I)		0	
LESS: _____		(J)		0	
Unreserved Fund Balance, 07/01/24	**2,298,889.78**	(K)	**(328,063.69)**	**1,970,826.09**	**

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 2024

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

Department Title:	Department of State
Trust Fund Title:	Land Acquisition Trust Fund
LAS/PBS Fund Number:	2423

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24 Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**2,791,847.70**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #B4500002 - Due From Other Departments	(328,063.69)	(C)
SWFS Adjustment # and Description		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(1,014,543.24)	(D)
Approved FCO Certified Forward per LAS/PBS	0.00	(D)
A/P not C/F-Operating Categories	500,737.33	(D)
Compensated Absences Liability	20,847.99	(D)
		(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**1,970,826.09**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**1,970,826.09**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Operating Trust Fund

(2510)

FY 2025-2026

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2025 - 2026

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

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	203,248.61	(A)		203,248.61	
ADD: Other Cash (See Instructions)		(B)		0	
ADD: Investments		(C)		0	
ADD: Outstanding Accounts Receivable	30,000.00	(D)		30,000.00	
ADD: _____		(E)		0	
Total Cash plus Accounts Receivable	**233,248.61**	(F)	**0**	**233,248.61**	
LESS Allowances for Uncollectibles		(G)		0	
LESS Approved "A" Certified Forwards		(H)		0	
Approved "B" Certified Forwards		(H)		0	
Approved "FCO" Certified Forwards		(H)		0	
LESS: Other Accounts Payable (Nonoperating)		(I)		-	
LESS: _____		(J)		0	
Unreserved Fund Balance, 07/01/24	**233,248.61**	(K)	**0**	**233,248.61**	**

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 2024

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

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, 07/01/24 Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**(230,968.89)**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment # and Description		(C)
SWFS Adjustment # and Description		(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)
	434,217.50	(D)
		(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**233,248.61**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**233,248.61**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Records Management Trust Fund

(2572)

FY 2025-2026

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2025 - 2026

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

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	626,161.59	(A)		626,161.59	
ADD: Other Cash (See Instructions)	(83.50)	(B)		(83.50)	
ADD: Investments		(C)		0	
ADD: Outstanding Accounts Receivable	1,275,825.89	(D)		1,275,825.89	
ADD: _____		(E)		0	
Total Cash plus Accounts Receivable	**1,901,903.98**	(F)	**0**	**1,901,903.98**	
LESS Allowances for Uncollectibles	2,550.57	(G)		2,550.57	
LESS Approved "A" Certified Forwards	150,580.76	(H)		150,580.76	
Approved "B" Certified Forwards	2,104.49	(H)		2,104.49	
Approved "FCO" Certified Forwards		(H)		0	
LESS: Other Accounts Payable (Nonoperating)		(I)		0	
LESS: _____		(J)		-	
Unreserved Fund Balance, 07/01/24	**1,746,668.16**	(K)	**-**	**1,746,668.16**	**

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 2024

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**1,080,143.35**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment # and Description		(C)
SWFS Adjustment # and Description		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(2,104.49)	(D)
Approved FCO Certified Forward per LAS/PBS	0.00	(D)
A/P not C/F-Operating Categories	7,861.91	(D)
Adjustment to PY Accounts Payable	579,383.44	(D)
Compensated Absences Liability	78,531.73	(D)
Leases Liability	2,852.22	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**1,746,668.16**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**1,746,668.16**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR CORPORATE REGISTRY REVITALIZATION PROJECT

For Fiscal Year 2025-26

October 15, 2024

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

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of State	Schedule IV-B Submission Date: October 15, 2024
Project Name: Corporate Registry Revitalization Project	Is this project included in the Agency's LRPP? __X__ Yes ____ No
FY 2025-26 LBR Issue Code: 36377C0	FY 2025-26 LBR Issue Title: Sunbiz Sustainment and Project Modernization
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Scott Maynor, (850) 245-6135, scott.maynor@dos.fl.gov	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Cord Byrd	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Scott Maynor	Date:
Budget Officer: Printed Name: Antonio Murphy	Date:
Planning Officer: Printed Name: John Boynton	Date:
Project Sponsor: Printed Name: Sean Toner	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Sean Toner, (850) 245-6989, sean.toner@dos.fl.gov
Cost Benefit Analysis:	Blake Gehres, (850) 245-6777, blake.gehres@dos.fl.gov
Risk Analysis:	Blake Gehres, (850) 245-6777, blake.gehres@dos.fl.gov
Technology Planning:	Scott Maynor, (850) 245-6135, scott.maynor@dos.fl.gov
Project Planning:	Scott Maynor, (850) 245-6135, scott.maynor@dos.fl.gov

II. 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.fl.gov/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.

The current Sunbiz system, while vital to the state's business infrastructure, has grown outdated and requires modernization to keep pace with technological advancements and the increasing demands of users. This extensive modernization effort will be carried out with the assistance of third-party vendors, who will provide the expertise and resources necessary to upgrade the system, ensuring it remains secure, efficient, and capable of supporting Florida's economic growth.

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 Sunbiz system by:

1) Acquiring reserve physical Alpha-APX servers,
2) Completing optimizations within the legacy system that provide enhanced data storage and retrieval,
3) Migration from a legacy enterprise virtual storage array (EVA) to the more modern storage area network (SAN), which allows for scalability of the system's Oracle Rdb 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 completed a proof-of-concept virtualization for the OpenVMS system. Virtualization of the underlying Sunbiz application fabric well insulates the Department from hardware failure due to age. Once in production, scheduled for early FY 2025-26, this single act calms pressure to deliver a wholly realized Sunbiz replacement system in a single package and allows for system planning using vendor partnerships and/or COTS/SaaS solutions.

Revitalizing the Sunbiz system is expected to cost approximately $19.2 million and be completed by FY30-31. While project deliverables will be provided by contracted vendor services, the Department's intent is to 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 focusing 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 previous modernization efforts. At the direction of the Florida Legislature, the Department will contract Independent Validation and Verification Services from the onset of the project. During initial phases, the joint DOS and IV &V teams will collate documentation gathered during previous efforts to unify and modernize Sunbiz, procure a feature integrator, continue the discovery process for new 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.

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 (COBOL) and uses a proprietary operating system software, Application Control and Management System (ACMS). 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.

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, Oracle Rdb 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. The following project objectives are high-level tenants any replacement system must address.

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.
- 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 Azure, and accordingly, those aspects are redundant and scalable; however, the majority of key services (e.g., fiscal, correspondence, imaging) are embedded within OpenVMS. 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 (TLS) 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 –The code base should be intuitive and follow current design pattern methodologies regardless of whether COTS or SaaS platform.
- 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 vendor provided COTS or SaaS solution.

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 $19.2 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.

III. 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 an Oracle Rdb database (the precursor to modern Oracle). As it stands, the files cannot be moved to a different OS due to the unbreakable relationship between the Oracle Rdb database and the Alpha-AXP/OpenVMS/ACMS 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 Oracle Rdb, Azure, 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 Microsoft Azure Cloud in BLOB. The information stored in both in the Oracle database and in the Azure cloud 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 cloud services, carries additional cost.

The Legacy (OpenVMS) system currently consists of three (3) physical servers, each running a single Alpha-AXP processor in production. The development environment is a physical AXP processor running on a HP server. This allows for the "hot swap" of a physical Alpha-AXP 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 Alpha-APX servers. This action was taken prior to the conclusion of the host virtualization effort because the licensing for Oracle is costly and negotiations with Oracle 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 VMS operating system is running several, but not all the Division's service applications. Note that OpenVMS or VMS is an internal shorthand to refer to applications running on the Alpha-APX servers, the Oracle Rdb database, the applications built in ACMS to manage data, batch jobs written in DCL, all COBOL programs, and the print queues. It also refers to anything that accesses the Oracle Rdb database. Examples of this include new online filings, searches, and visual basic [VB] programs. Applications run in Azure, on-premises 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., .NET against a SQL 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, modules help 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 the 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

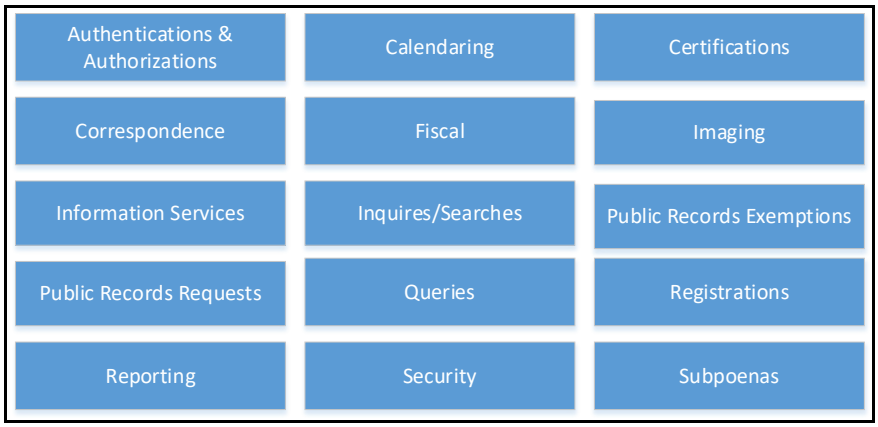
Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

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 COBOL 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 the modern system are expandable. As space is needed, physical volumes may be added to the Storage Areas Network (SANs). 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 SAN, in place of the EVA8000, has allowed for scalability of the legacy Oracle Rdb database so storage volume can be increased. It is estimated that the recently integrated SAN will operate for the entire revitalization. At project close, the SAN 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 BLOB and/or .tif 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 Azure and other SQL databases is not currently an issue. There are programmers within BDIS that can write queries against an SQL database. Therefore, a request can be fulfilled in a few days, if not a few hours or minutes. However, the corresponding script against the Oracle Rdb 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., OpenVMS, ACMS, COBOL, or Oracle). 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 Transport Layer Security v1.2 or above and the Division's current system utilizes SSL, which (along with TLS 1.0) the PCI Council determined is no longer to be used as of June 30, 2016. The system should also have its application servers behind a perimeter network/DMZ protected by a firewall and the data servers should be further protected by a second firewall or DMC. The data on the database should be encrypted and access to the data should be limited through permissions authenticated by high level credentialing.

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 meet or surpass the prerequisites of a Tier III datacenter as defined by the Uptime Institute.

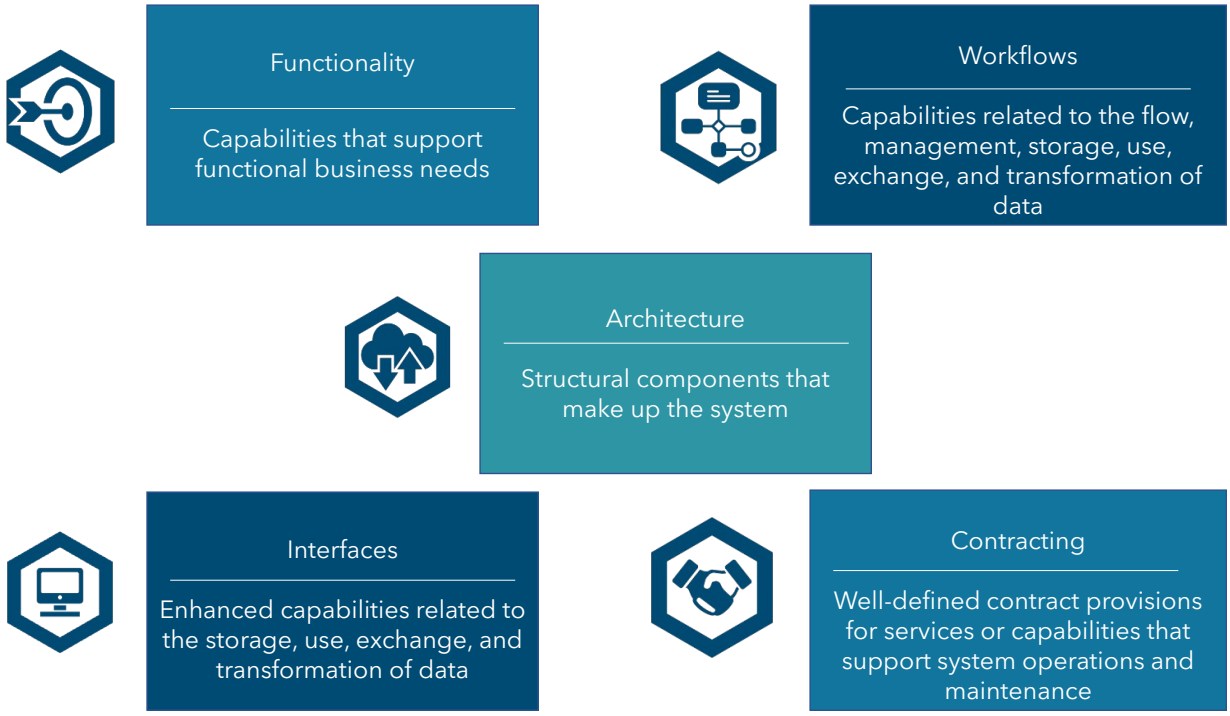
C. Proposed Business Process Requirements

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 multi-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. Vendor IV & V services, DOS subject matter experts, and feature integrators 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 Production 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 post feature integrator procurement.

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

Time Frame	Deliverable
FY25-26	Authentication and Authorization/Credentialling/Verification
FY25-26	Fiscal
FY26-27	Corporate registry systems business objects (COR, GEN, FIC, GENCOR)
FY27-28	Amendments
FY27-28	Correspondence
FY28-29	Imaging
FY28-29	Corporate registry systems (COR, GEN, FIC, GENCOR)
FY29-30	Federal Tax Liens, Judgement Liens, Notary Public, Apostilles, Trade and Service Marks, and Cable Franchise Systems
FY30-31	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.

Discovery

Information Technology (IT)

During this project, the IT workgroup will validate, research, compile, and document the current state of any proposed hardware, network, operating system, application, data management system, data source and/or database, image file, input and output device, and the integration of these IT components of *Sunbiz*. The group will determine whether the requirements proposed conform to Departmental policy, 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.

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*.

In addition, details listed in this section are provided to add detail to how the Department completed the project preliminary Cost Benefit Analysis. Staff depicted here are presented as supporting data for the financial work-up. The Department fully expects project costs to change once IV & V / Feature Integrators are awarded the contract.

- 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

- Work Products
    - Completed and verified "Current State for IT Budget Requests" questionnaire
    - Data and image Dictionaries
    - Summary "Best Practice" document

- Resources
    - 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., BLOB structure)
  - Identify and analyze considerations for new development
  - Identify viable options for the unification and modernization of *Sunbiz*, translation, virtualization, custom programming, or hybrid; hosting considerations [e.g., Amazon, Google, Microsoft, on-premises at the SDC]; 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
        - 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 SQL and database skills
  - Experience in administering databases with preference to those with experience with Oracle, SQL, Microsoft SQL Server, MySQL, and/or Azure SQL
  - Experience with Azure
  - 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 Azure

  - 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 Azure
  - Experience with Kubernetes, in combination with Docker
  - Working knowledge of modern programming languages (e.g., C, C#, C++, Java, JavaScript, PHP, Python, or Ruby) and a modern framework such as .NET

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 VMS system
5.) Fiscal, correspondence, and imaging are not just ported off VMS 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.

#	Initiative	Description
F8	Reporting	The system shall provide reporting that satisfy DOS needs.
F9	Reporting	This system shall provide configurable dashboards for management, including 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.

#	Initiative	Description
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.
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	Single Sign-On	The system shall support single sign-on (SSO).
SA13	Active Directory Authentication	The system shall support integration with MS Office 365 Active Directory and SSO to ensure only authenticated users have access.
SA14	Cloud 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 SFTP to accommodate current inbound external systems.
SA18	API and Real-Time Data Calls	The system shall support a modern API framework to integrate with external systems for real-time data transfer.

#	Initiative	Description
SA19	APIs	The system shall provide APIs that are RESTful. • Client Server Architecture • Stateless • Cacheable • Layered
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	APIs	The system should provide all capabilities that are available through the external agency portal and through APIs.
SA31	Data Exchange Integration	The system shall decouple the user interface and data integration points from the back-end services utilizing APIs.
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.

#	Initiative	Description
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.
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.

IV. 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	• Reduce the number of times DOS staff are	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
	request in the DOS system to prevent duplicative effort	working the same issue		
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	• 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	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
	complete (performance), as well as a basic individual examiner performance report including types of calls, number, location, etc. (call center stats)	performance information for annual evaluations 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 2019 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	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
		and either alerting IT staff or taking a configured action • Kubernetes 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

V. 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 FY26-27 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	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 FY26-27 to close of project

BENEFITS REALIZATION TABLE					
			• Public search functions on 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	• 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 FY26-27 to close of project

BENEFITS REALIZATION TABLE					
			• Resolve the current issue with accessing search functionality		
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 Cost Benefit Analysis 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 software development 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	$3,150,000
Project Manager	$200,000
Technical Architect	$200,000
Developer x 3	$540,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$935,000
Business Analyst x 2	$360,000
Database Analyst x 2	$400,000
Licensing Costs	$210,000
Infrastructure	$105,000

Year Six Costs	$2,870,000
Project Manager	$200,000
Technical Architect	$200,000
Developer x 2	$360,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$1,200,000
Business Analyst	$180,000
Database Analyst	$200,000
Licensing Costs	$210,000
Infrastructure	$120,000

Overall Project Cost (6 years): $19,215,500

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 2030-2031. Total costs carry a funding need of $19.2 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

VI. 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.

VII. 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 aging 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 Common Business-Oriented Language (COBOL), a computer programming language designed for business use. Procedures are written, not in the main code, but in the Virtual Memory System (VMS) 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 COBOL portion of the legacy application is a cluster of three (3) Alpha-AXP processors. The system utilizes OpenVMS as its OS. The Alpha RISC architecture utilizes the Application Control Management System (ACMS) 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 ACMS 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 Alpha-AXP architecture, utilizing OpenVMS and ACMS, 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) Alpha 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 rational database (Rdb). OpenVMS and Rdb are written for one another and are dependent on one another. The legacy system runs against an Oracle Rdb 7.2 database which is housed storage hosts at the state data center. Like the Alpha system, the Oracle Rdb instances run well. Advantages of Oracle Rdb 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 Rdb 7.2 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 Rdb 7.2 is outdated (its replacement [Rdb 7.3] was released in 2009 and Rdb development for the Alpha was halted in November 2013); and 4.) Rdb 7.2 Database Administrators (DBAs) are difficult to find.

The images are indexed within the Oracle database and are stored in an image server as a Tagged Image Format File (.tiff or .tif files). 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 Microsoft Cloud and is hosted by Azure Cloud Services (Microsoft Azure or Azure). The database utilizes Structure Query Language (SQL) with the images stored a Binary Large Objects (BLOB). BLOB 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 Azure system, resulting in a copy of the image in two (2) separate locations – one as a .tiff on the Oracle database image server and the other in BLOB storage persisted in cloud 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 Alpha-AXP processor in production. The development environment is a virtualized AXP processor running on a HP server. This allows for the "hot swap" of a physical Alpha-AXP server in the event one of the three in production fails.

Database

The backbone of the system is an Oracle Rdb database- a workhorse that contains a mixture of application "hooks", interfaces, and reporting.

Cloud Resources

Microsoft Azure Web Services 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	Microsoft Azure Cloud Services responsible for Annual Reports, Reinstatements, and Certificates of Status
Sunbiz Search	Microsoft Azure Cloud Services 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, Alpha-AXP	3
Legacy Development Host - Virtualized	1
Workflow Servers, ranging from Windows 2003 to Windows 2019	10
Physical FAX Server	1

C. Proposed Technical Solution

The recommended technical solution is to pursue a third-party software solution, procured from vendor services 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 certainly need substantial customization to satisfy DOS requirements. (see Hybrid solution).
- **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 third-party software solution 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 third-party software products and integrations 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. 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 SQL database server for public web applications and a SQL 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 MS Access database currently in use will be migrated to a SQL 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 .NET 6 DLL 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 .NET 6 DLL 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 2025-2026 through FY 2030-31.

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)

VIII. 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
- Software Development Vendor

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 2025-26 through 2030-2031. 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 delivery team will be 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.

Procurements Essential for 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	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	July 2025

Procurement	Description	Justification	Needed By
	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.	documentation, partner liaising, staff training, communication planning, and policy updates.	
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 2025
IV&V	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 2025
Third-Party Software Products and Libraries	The recommended technical solution for system modernization 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 2025

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 • 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.

Name	Deliverable Description
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.
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

Name	Deliverable Description
	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

Milestone	Deliverable(s) to Complete
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 software development vendor 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 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	Division Director of Corporations	• 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

Project Role	Potential DOS Actor(s)	Responsibilities
		• Review project plan and relevant documents • Ensure staff participates in work sessions • Promote project buy-in
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:
		  ○ 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 / User Acceptance Testing
		  ○ 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

Project Role	Potential DOS Actor(s)	Responsibilities
		○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities
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,

Project Role	Potential DOS Actor(s)	Responsibilities
		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 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 FLORIDA VOTER REGISTRATION SYSTEM MODERNIZATION

For Fiscal Year 2025-26

October 15, 2024

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

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of State	Schedule IV-B Submission Date: October 15, 2024
Project Name: Florida Voter Registration System Modernization	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2025-26 LBR Issue Code:	FY 2025-26 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Blake Gehres, 850-245-6777, Blake.Gehres@dos.fl.gov	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Hon. Cord Byrd	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Blake Gehres	Date:
Budget Officer: Printed Name: Antonio Murphy	Date:
Planning Officer: Printed Name: John Boynton	Date:
Project Sponsor: Printed Name: Maria Matthews	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Amber Marconnet, 850-245-6224, amber.marconnet@dos.fl.gov
Cost Benefit Analysis:	Blake Gehres, 850-245-6777, blake.gehres@dos.fl.gov
Risk Analysis:	Blake Gehres, 850-245-6777, blake.gehres@dos.fl.gov
Technology Planning:	Scott Maynor, 850-245-6135, scott.maynor@dos.fl.gov
Project Planning:	Scott Maynor, 850-245-6135, scott.maynor@dos.fl.gov

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 13.8 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.

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, 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

[1] Florida Department of State. Division of Elections. Voter Registration by Party Affiliation. https://dos.fl.gov/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 $16.8 million.

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.

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

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 13.8 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 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.

Over the past five years, changes in state statutes have resulted in changes to business processes within BVRS that the current FVRS cannot accommodate electronically. The new requirements triggered significant programmatic and procedural changes to implement and additional coordination with other state agencies to process the intake of new data sets and reports.

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, 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 version of Snagit is incompatible with current system components. Additionally, support for MIM, which is used to manage data access, users, policies, and credentials, ended in January 2021.

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 3.4 million registered voters — a net increase of 25%, with significant increases in elections years.

Federal, State, and DOS Goals and Objectives

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. The Florida Legislature appropriated a total of $1.9 million for Fiscal year (FY) 2018-19 from HAVA funds to distribute to Florida's 67 county SOEs to purchase and implement a network monitoring solution for the 2018 Election Cycle.[2]

The HAVA funding disbursements ended in federal fiscal year 2019.[3] Since federal and state law requirements remain, future state general revenue funds must offset and support the costs associated with continuing program administration once HAVA funds are exhausted. In January 2020, Florida received an award totaling $21,613,782 in federal funds through the Consolidated Appropriations Act of 2020 for the purpose of election security (HAVA Election Security Funds 2020). As part of a multi-phase strategy to ensure the availability and integrity of FVRS, DOS requested $1,986,000 to create a new system disaster recovery environment and $1,500,000 to create a new system failover environment. DOS procured the required hardware and is in the process of migrating components of the FVRS onto the new equipment. The modernization of FVRS and its ancillary systems and databases will further the 2021 legislature's intent to modernize Florida's voter registration system.

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. The corresponding objectives within each goal are detailed in Figure 1.

[2] Florida Department of State. Long Range Planning Program FY2019-2020 through FY2023-2024. http://floridafiscalportal.state.fl.us/Document.aspx?ID=18085&DocType=PDF

[3] Florida Department of State. Division of Elections. Help America Vote Act. https://dos.myflorida.com/elections/laws-rules/help-america-vote-act/

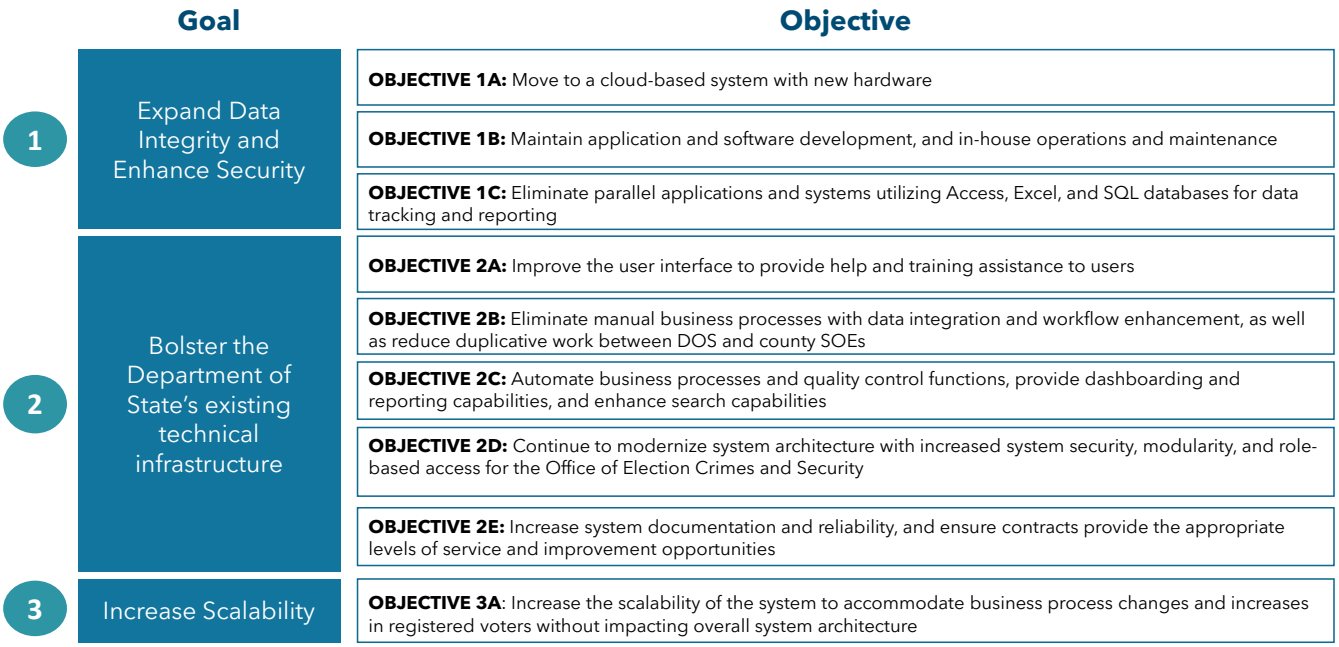


Figure 1: FVRS Modernization Goals and Objectives

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. These business processes are broadly divided into six functional areas, represented in Figure 2.

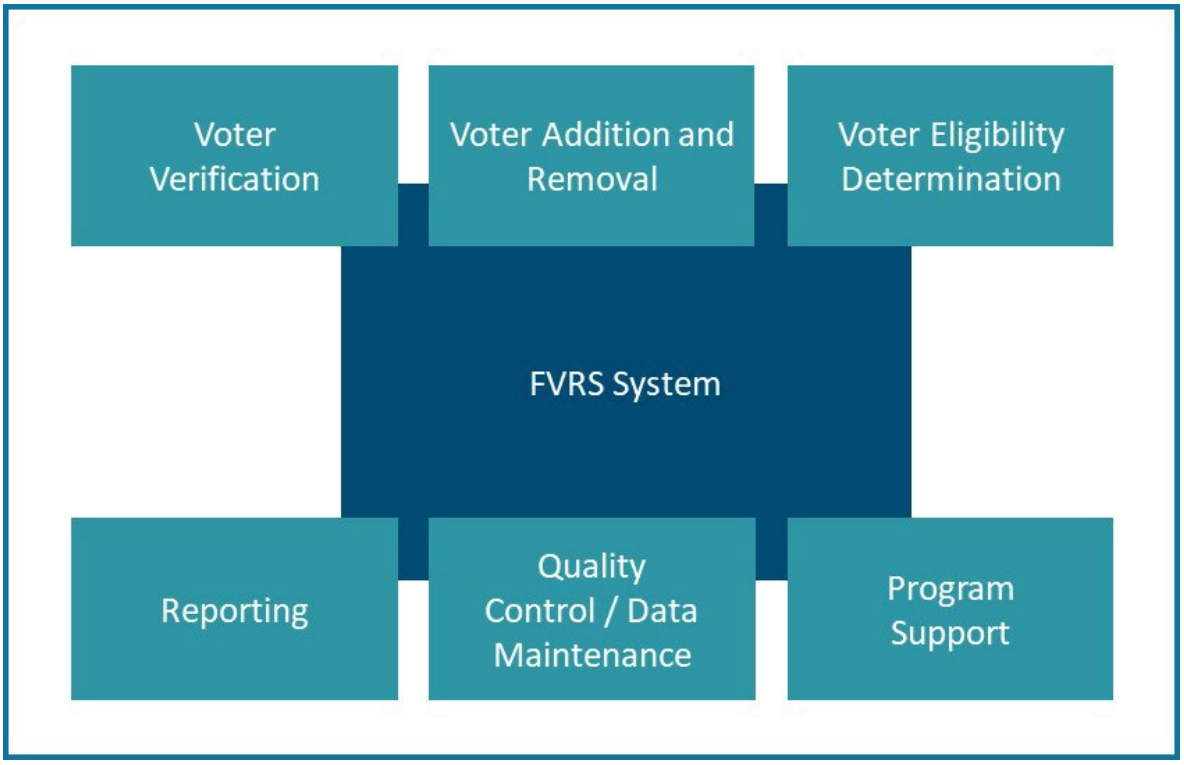


Figure 2: Functional Areas Supported by FVRS

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. 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 and interactions with the SOE offices. Additionally, BVRS works with various agencies to process and validate voter registrations.

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 and is based on data and information from sister agencies to.

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.

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 and referenced in Figure 5.

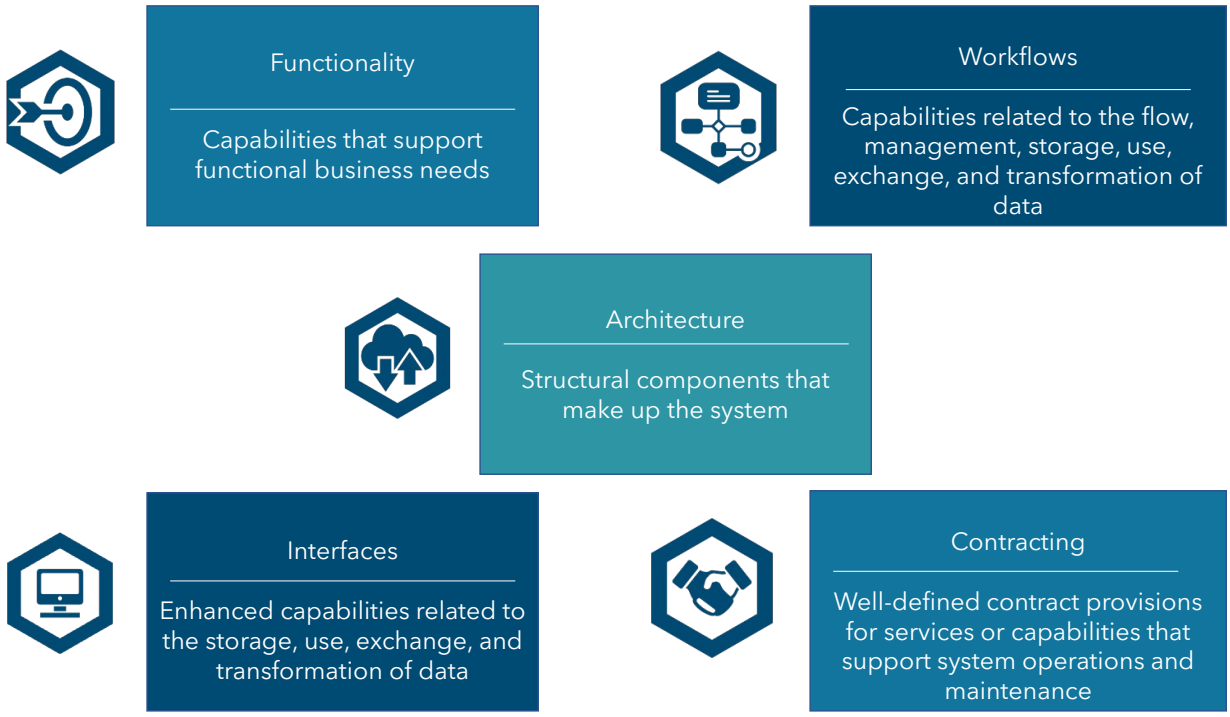


Figure 3: Business Process Requirement Categories

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.

FUNCTIONALITY

- 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.

2. 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.

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. The implementation roadmap in Figure 4 illustrates the high-level phases and activities in

delivering a successful solution. Details regarding the activities on the roadmap are explained further in this section.

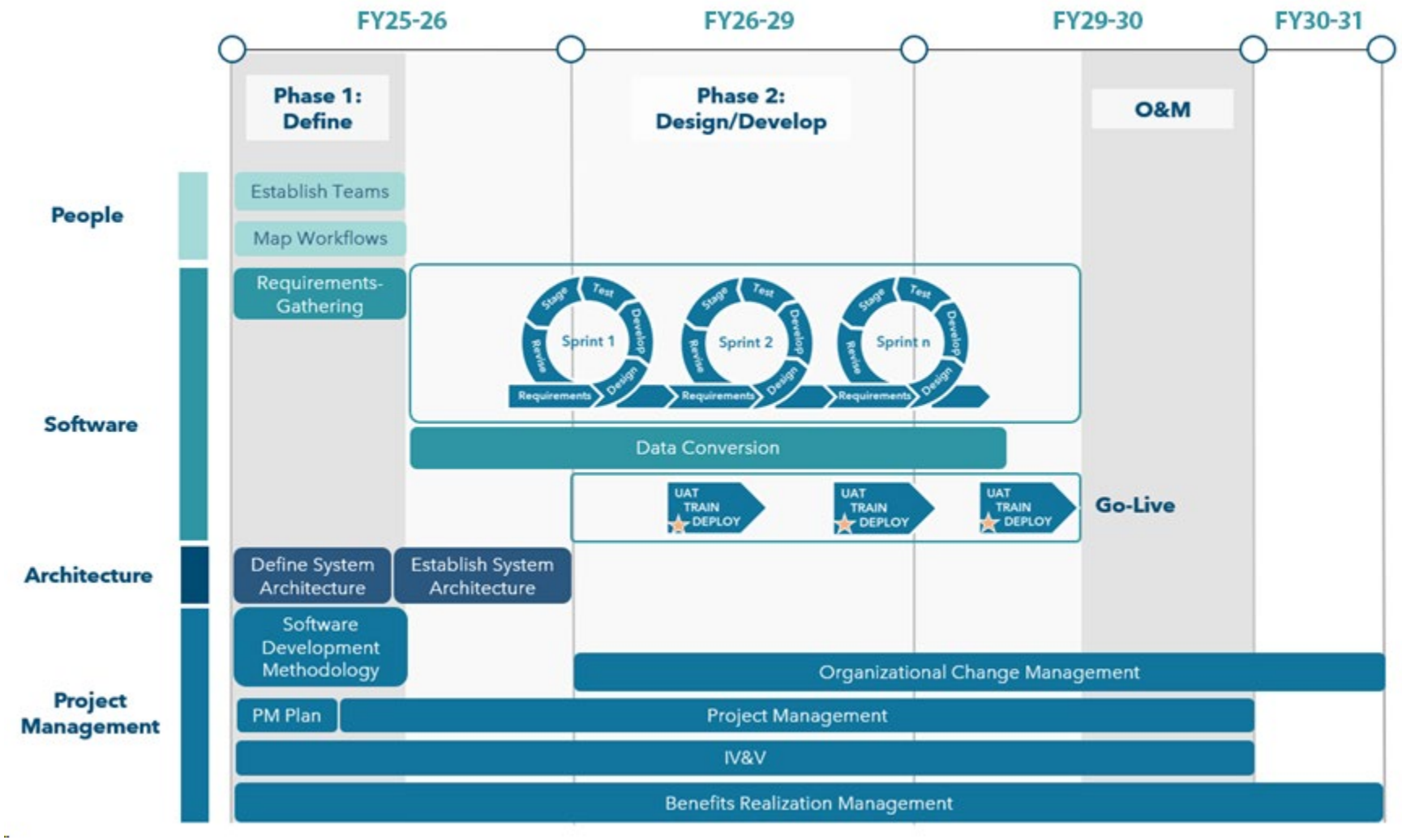


Figure 4: FVRS Modernization Project Roadmap

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 potential 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. 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.

Table 3 Functional and Technical Requirements

#	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.
F3	System of Record	The system shall be the single uniform, official, centralized, interactive statewide voter registration system for storing and managing the official list of registered voters in Florida (s. 98.035, FS).
F4	Data	The system shall contain the name and registration information of every legally registered voter in the state (S. 98.035, FS).
F5	Data	The system shall provide each legally registered voter in Florida with a unique identifier (s. 98.035, FS).
F6	Integrations	The system shall interface with specified external agency databases.
F7	Integrations	The system shall integrate with CCIS, DOH, FCOR, FDC, FDLE, HSMV, and others as specified.
F8	Data Access	They system shall provide access to voter registration information to any authorized election official in Florida, including any authorized local election official (ss. 97.012 and 98.015, FS).
F9	Data Access	The system shall provide authorized local election officials in Florida the ability to electronically enter all voter registration information on an expedited basis at the time the information is provided to the local official (ss. 97.053 and 98.015, FS).
F10	Availability	The system shall be available to local election officials to enter voter registration information.
F11	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.
F12	Automation	The system shall enable automation to reduce time spent on manual and paper-based processes.
F13	Reporting	The system shall provide reporting that satisfy DOS needs.
F14	Reporting	This system shall provide configurable dashboards for management, including

#	Initiative	Description
		enhanced search/sort filter functionality.
F15	Help	The system must provide a module for Help/FAQ.
F16	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. Sensitive or confidential information shall be redacted automatically by the system.
F17	Document Upload	The system shall allow external authenticated users to submit attachments online.
F18	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.
F19	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.
F20	Business Rules	The system shall maintain configurable business rules and data validation associated with workflows.
F21	Logging	The system shall be able to capture performance metrics, including timelines of actions and data updates.
F22	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.
F23	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 shall operate in 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 in DOS's private cloud.
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.
SA6	Operating System Agnostic	The system shall allow for implementation as a set of containerized Kubernetes applications.
SA7	Sustainable /	The system shall provide a pattern-based solution architecture with clear

#	Initiative	Description
	Manageable	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	Single Sign-On	The system shall support single sign-on (SSO).
SA13	Active Directory Authentication	The system shall support integration with MS Office 365 Active Directory and SSO to ensure only authenticated users have access.
SA14	Cloud Services	The system shall support the use of cloud services that maintain high availability, security, analytics, storage, and data integration.
SA16	Integrated Document Management	The system shall 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 SFTP to accommodate current inbound external systems.
SA18	API and Real-Time Data Calls	The system shall support a modern API framework to integrate with external systems for real-time data transfer.
SA19	APIs	The system shall provide APIs that are RESTful. • Client Server Architecture • Stateless • Cacheable • Layered
SA20	RSS Feeds	The system shall 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.

#	Initiative	Description
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	APIs	The system shall provide all capabilities that are available through the external agency portal and through APIs.
SA31	Data Exchange Integration	The system shall decouple the user interface and data integration points from the back-end services utilizing APIs.
SA32	System Data Control	The system shall allow DOS and SOE 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.
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.

#	Initiative	Description
W3	Workflow Enhancements (in app guidance)	The system shall have the ability to provide instructions and guidance to DOE staff and external agency users within applications, 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 shall 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.

Table 4: 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:	• 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
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	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
6	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
7	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

SUCCESS CRITERIA				
8	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 •	DOS Staff	Post-Implementation
9	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
10	Automate the connection between CANCOM and FVRS to verify the candidate's voter eligibility	• Improved candidate data accuracy	DOS Staff	Post-Implementation
11	Ensure the connection and access between DOS and the county SOEs is securely managed	• Improved self-service workflow for county SOE security managers • System architecture supports at least a 2019 server platform	DOS Staff SOE Users	Post-Implementation
12	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
13	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	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
		efficient		
14	Ensure the Office of Election Crimes and Security has access to voter data and any match files with role-based access and view only	• Reduce the number of manual inquiries from OECS to BVRS and IT •	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 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
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

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.

Table 5: 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	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 (Access, Excel) and applications • Host the new system environment in the state-owned,	• Reduce the number of hours required to fix and add enhancements • Reduce external workflow documentation (access, excel) • Reduce staff time to maintain (system) external stats management • 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	Post-Implementation

BENEFITS REALIZATION TABLE					
			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 • 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	• 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 • Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient	
4	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 available and DOS IT are capable of making updates, both regularly and incidentally as major process	• 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 inspire quality customer service	• Post-PM Plan and Procurement Post-Implementation

BENEFITS REALIZATION TABLE					
			changes are required • Ensure the contract provides appropriate levels of service to achieve business goals and has mechanisms to improve service delivery when needed		

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 6: 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 6: FVRS Modernization Project Cost Estimate

	FVRS Modernization Fiscal Estimate						
Fiscal Year	2025-2026	2026-2027	2027-2028	2028-2029	2029-2030	2030-2031	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
	$2,494,800	**$2,594,800**	**$2,694,800**	**$2,694,800**	**$3,169,800**	**$3,169,800**	**$16,818,800**

The FVRS modernization project cost estimate outlines cost detail and the project timeline over approximately six years, with project completion in FY 2030-2031. The figures displayed present a funding need of $16.81 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.

CBA Workbook

Table 7: FVRS Modernization Existing Program Costs

	FY 2025-26 (a) Existing Program Costs	FY 2026-27 (a) Existing Program Costs	FY 2027-28 (a) Existing Program Costs	FY 2028-29 (a) Existing Program Costs	FY 2029-30 (a) Existing Program Costs	FY 2030-31 (a) Existing Program Costs
A. Personnel Costs -- Agency-Managed Staff	**$2,874,800**	**$2,974,800**	**$3,074,800**	**$3,074,800**	**$3,549,800**	**$3,549,800**
A.b Total Staff	**2.00**	**2.00**	**2.00**	**2.00**	**2.00**	**2.00**
A-1.a. State FTEs (Salaries & Benefits)	$0	$0	$0	$0	$0	$0
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Professional Services Contracts	$380,000	$380,000	$380,000	$380,000	$380,000	$380,000
A-3.b. External Staff (Project Management, IV&V)	$2,494,800	$2,594,800	$2,694,800	$2,694,800	$3,169,800	$3,169,800
A-3.c. External Staff (# of Contractors)	2.00	2.00	2.00	2.00	2.00	2.00
B. Application Maintenance Costs	**$376,095**	**$387,377**	**$398,999**	**$410,969**	**$423,298**	**$436,716**
B-1. Managed Services (DOS Staffing)	$376,095	$387,377	$398,999	$410,969	$423,298	$436,716
B-2. Hardware	$0	$0	$0	$0	$0	$0
B-3. Software	$0	$0	$0	$0	$0	$0
B-4. Other Specify	$0	$0	$0	$0	$0	$0
C. Data Center Provider Costs	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$0	$0	$0	$0	$0	$0
C-3. Network / Hosting Services	$0	$0	$0	$0	$0	$0
C-4. Disaster Recovery	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
E. Other Costs	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
E-1. Training	$0	$0	$0	$0	$0	$0
E-2. Travel	$0	$0	$0	$0	$0	$0
E-3. Other Specify	$0	$0	$0	$0	$0	$0
Total of Recurring Operational Costs	**$3,250,895**	**$3,362,177**	**$3,473,799**	**$3,485,769**	**$3,973,098**	**$3,986,516**

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.

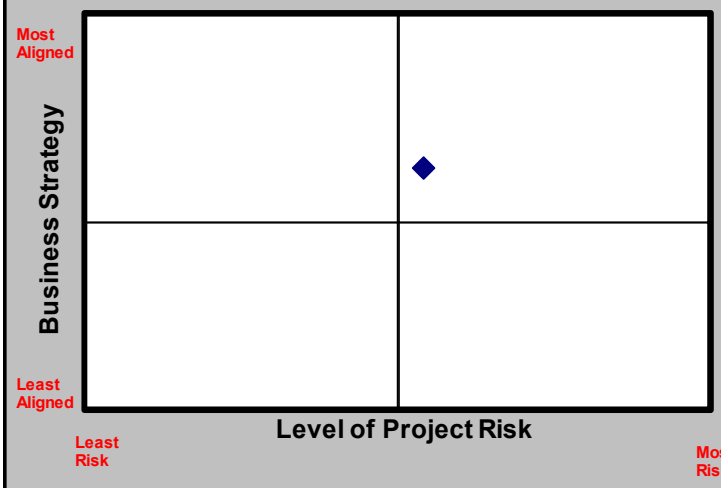
A required risk assessment of the FVRS system modernization project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool evaluates risk characteristics of the project based on responses to 89 questions in a Microsoft Excel workbook organized into eight assessment categories (tabs). After completing questions in all eight tabs, the Risk Assessment Summary is automatically populated. The generated risk assessment Summary is listed on the following page.

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 technological 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 starting 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.

Project	*Florida Voter Registration System Modernization*	
Agency	*Department of State (DOS)*	
FY 2025-26 LBR Issue Code:	**FY 2025-26 LBR Issue Title:**	
25020C0	*Voter Registration System Modernization*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Scott Maynor, Director, Information Technology and Information Security, 850-245-6135, scott.maynor@dos.fl.gov		
Executive Sponsor	*Maria Matthews, Division of Elections, Director*	
Project Manager	*Blake Gehres, Chief Information Officer*	
Prepared By	*Scott Maynor*	*updated: 10/11/2024*

Risk Assessment Summary



Project Risk Area Breakdown

Risk Assessment Areas	*Risk Exposure*
Strategic Assessment	HIGH
Technology Exposure Assessment	LOW
Organizational Change Management Assessment	MEDIUM
Communication Assessment	HIGH
Fiscal Assessment	MEDIUM
Project Organization Assessment	LOW
Project Management Assessment	LOW
Project Complexity Assessment	HIGH
Overall Project Risk	HIGH

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 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 aging 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. Figure 5 represents the current technical infrastructure of FVRS and its corresponding systems and databases, including the ancillary databases and applications used by BVRS in the completion of its work to maintain the statewide voter registration list.

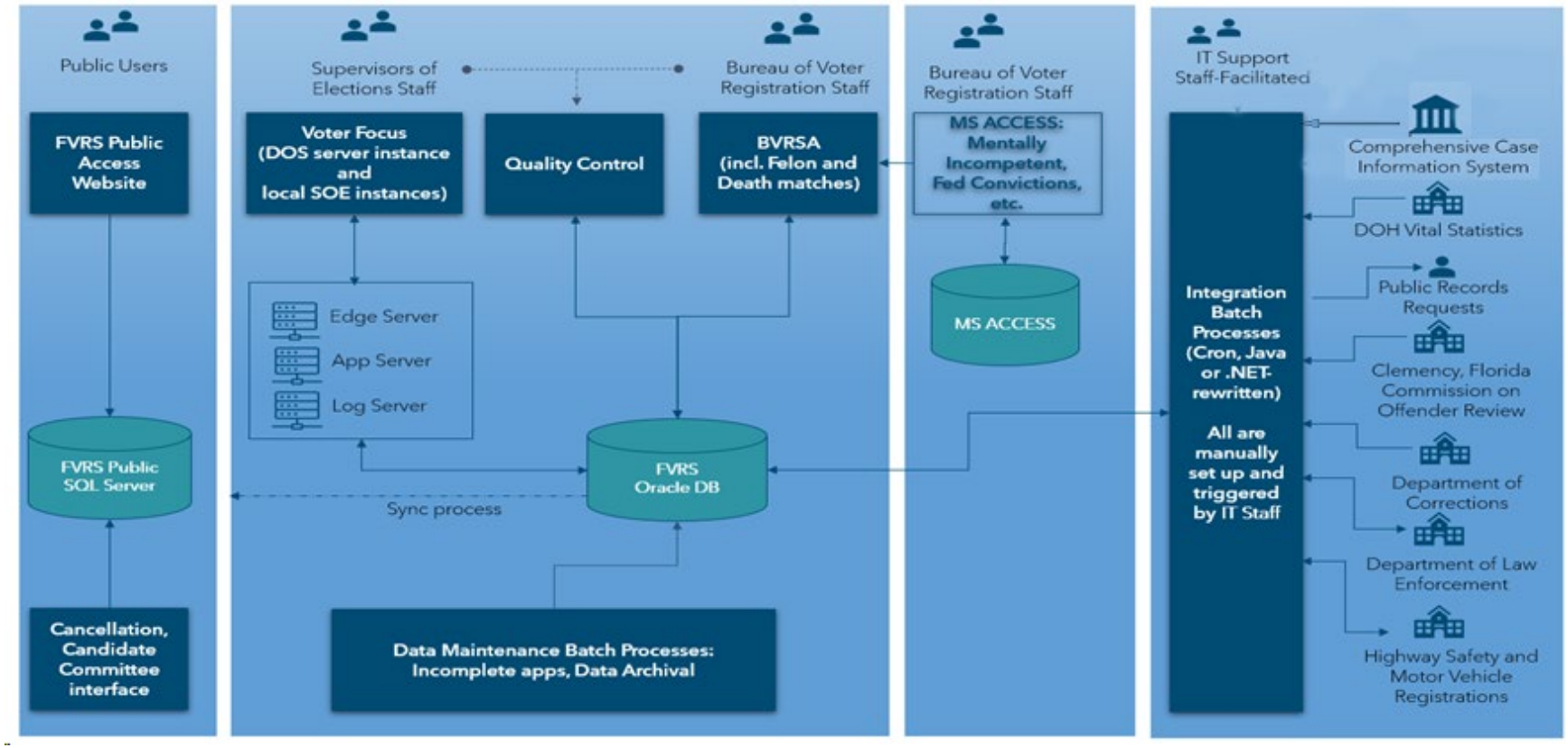


Figure 5: FVRS Technology Current State

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. A complete list and description of the applications related to voter registration is included in Section II, Business Need.

Storage

The current system employs three types of databases: SQL, MS Access, and Oracle, described below.

- SQL Server 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.
- Oracle Database: used by internal systems such as Voter Focus and BVRSA applications. Furthermore, all county transactions and batch processing are executed against this database. Oracle databases have a similar usage and functions as a SQL Server.
- MS Access and Excel 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 75 servers which run on an estimated combination of
  - 350 CPU cores
  - 800 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

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: Software Inventory

Name	Description
FVRS Public Website/Voter Lookup	Website used by the public to access voter registration information. This site uses a SQL server database as a backend for data storage. This database is fed data from the internal FVRS Oracle database.
Voter Focus	Used by BVRS staff to access voter rolls. This application uses an internal SQL database as a backend for limited data storage such as user permission and it accesses FVRS voter data via transactions to the API.
BVRSA	Application used by BVRS staff to determine voter eligibility based on voter matches with input data sources. This application uses the internal FVRS Oracle database for data storage.
Mentally Incapacitated	Used by BVRS staff to account for Florida citizens who are not mentally incapacitated to vote or whose rights have been restored. This is an MS Access program that uses an Access database for data storage. This is currently a manual process.
Federal Convictions	Used by BVRS staff to account for Florida citizens who are not eligible to vote because of federal convictions. This is an MS Access program that uses an Access database for data storage. This is currently a manual process.
Cancellation	This SQL 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	MS Access application used by BVRS staff to generate book closing reports. Data is stored in SQL.
County Ballot Statistics	MS Access application used by BVRS staff to administer the county ballot reports (Vote-by-Mail and Early Voting).
FVRS Voter Extract	MS Access application used by BVRS staff to verify monthly voter extracts.
Online Voter Registration Statistics	MS Access application used by DOE staff to run online voter registration reports.
Logs (mail log)	MS Access 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 cases of double voting in elections, as well as clean FVRS-extracted voter registration data.

Table 9: Hardware Inventory

Hardware Description	Number
Private Cloud Hosted, Win 2012 R2 16 GB RAM, 8 CPU	3
Private Cloud Hosted, Win 2012 R2, Win 2019 Standard 8 GB RAM, 2 CPU	12
Private Cloud Hosted, Including VMWare Win 2012 R2, Win 2008 R2, Win 2019 4 GB RAM, 2 CPU	26
Private Cloud Hosted, Win 2019 Standard, Win 2019, Win 2008 R2 8 GB RAM, 4 CPU	8
Private Cloud Hosted, Win 2008 R2, Red Hat Enterprise Linux 7.2 4 RAM, 1 CPU	2
Private Cloud Hosted, Win 2012 R2, Win 2019 Standard16 GB RAM, 4 CPU	4
Private Cloud Hosted, Oracle UEK 8.7 128 GB RAM, 8 CPU	1
Private Cloud Hosted, Win 2012 R2 16 GB RAM, 2 CPU	1
Private Cloud Hosted, Win 2019 Standard 16 GB RAM, 8 CPU	2
Private Cloud Hosted, Win 2019 Standard 16 GB RAM, 4 CPU	2
Private Cloud Hosted, Including VMWare Win 2012 R2 6 GB RAM, 2 CPU	2
Private Cloud Hosted, Win 2019 Standard 42 GB RAM, 6 CPU	1

Hardware Description	Number
Private Cloud Hosted, Win 2019 Standard 24 GB RAM, 4 CPU	1
Private Cloud Hosted, Win 2019 Standard, Win 2016 32 GB RAM, 16 CPU	5
Private Cloud Hosted, Win 2012 R2 128 GB RAM, 32 CPU	1
Private Cloud Hosted, Win 2012 R2 64 GB RAM, 8 CPU	1
Private Cloud Hosted, Win 2012 R2 24 GB RAM, 2 CPU	1
Private Cloud Hosted, Win 2019, Win 2012 R2 32 GB RAM, 4 CPU	2
Private Cloud Hosted, Win 2012 R2 37 GB RAM, 4 CPU	1
Private Cloud Hosted, Win 2012 R2 32 GB RAM, 4 CPU	1
Hosted in VMWARE Win 2016 Standard 12 GB RAM, 2 CPU	1
Hosted in VMWARE Win 2008 R2, Linux 4 GB RAM, 1 CPU	2
Hosted in VMWARE Win 2003 Standard (32 bit) 24 GB RAM, 8 CPU	1
Hosted in VMWARE Win 2012 R2 32 GB RAM, 2 CPU	1
Hosted in VMWARE Win 2012 R2, Win 2016 Standard	7

Hardware Description	Number
12 GB RAM, 2 CPU	
Hosted in VMWARE Win 2012 R2 18 GB RAM, 2 CPU	1
Hosted in VMWARE Win 2003 Standard (32 bit) 3.5 GB RAM, 4 CPU	1

C. 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 10 depicts how the technical solutions under consideration (purchased software, custom, or hybrid) are scored within each of the categories on the lefthand side.

Table 10: 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.

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. Figure 6 provides an overview of the technical solution.

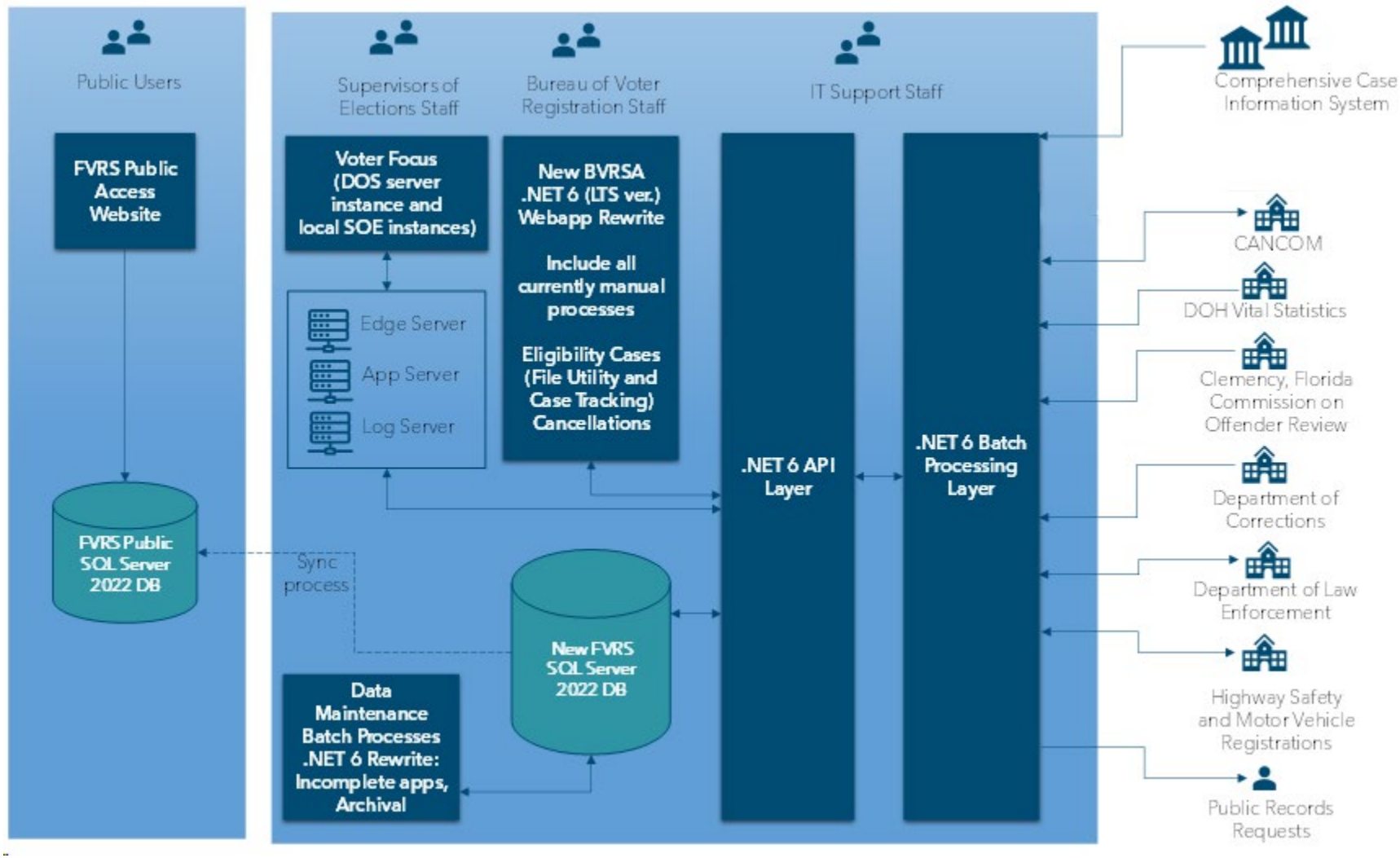


Figure 6: FVRS Technology Future State Diagram

1. Summary Description of Proposed System

The proposed system will consist of a consolidation of all current web and MS Access applications into two systems. A separate public system for public access and another internal system for DOS and SOE use only. These systems would be composed of various independent web applications modules. Each web application module would correspond to an existing web application or MS Access program that will be rewritten using the latest .NET version. At the discretion of DOS and/or the implementing vendor, most of the MS Access 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 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 SQL database server for public web applications and a SQL 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 MS Access database currently in use will be migrated to a SQL 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 .NET 6 DLL 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 .NET 6 DLL 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 2025-2026 through FY 2030-31.

E. 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 elections in 2026 and 2028, firm blackout dates for specific production and deployment activities should be secured on the project plan and timeline.

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 elections integrity and security. For this project, the DOS intends to utilize a project portfolio management (PPM) approach.

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 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 13.8 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 current system does not support the BVRS' activities to conduct voter list maintenance activities in an efficient manner as a result of evolving legislation and increasing volumes of voter data that require storage and accessibility by multiple stakeholders. Over the past five years, changes in state statutes have resulted in changes to business processes within BVRS that cannot be automated in the current FVRS. Many essential business functions supported by FVRS applications and databases require manual tasks (e.g., processing paper documents, emails, and phone calls).

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 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

- Move application and software development in house
- 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 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 the 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 2025-26 through 2030-2031. 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 11: 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 11: 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	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	July 2025

Procurement	Description	Justification	Needed By
	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.	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.	
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 2025
IV&V	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 2025
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 2025

2. Project Deliverables

Table 12: 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 12: 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 • 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 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.
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

Name	Deliverable Description
	• 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 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 Service Provider and Execute Contract

Milestone	Deliverable(s) to Complete
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 per the plan outlined in Figure 4.
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 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	To Be Determined (TBD)[4]	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

[4] 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.

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 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 scheduled 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 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 15: Proposed Governance Structure.

Table 15: Proposed Governance Structure

Project Role	Potential DOS Actor(s)	Responsibilities
Executive Committee	Assistant Secretary of State/Chief of Staff Chief Information 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 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:
		  ○ 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 / User Acceptance Testing
		  ○ 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	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:
		  ○ 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 • 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. 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 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: 2025-26**

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
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.	

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.	
DOS OIG A-2024-DOS-002	7/3/2024	Bureau of Departmental Information Systems	**Finding 1: System security plans** **Recommendation:** The audit recommended improving controls related to incident response, reporting, and recovery.	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	7/3/2024	Bureau of Departmental Information Systems	**Finding 2: Principle of Least Functionality** **Recommendation:** The audit recommended improving controls related to incident response, reporting, and recovery.	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	7/3/2024	Bureau of Departmental Information Systems	**Finding 3: Baseline Configuration** **Recommendation:** The audit recommended improving controls related to incident response, reporting, and recovery.	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	7/3/2024	Bureau of Departmental Information Systems	**Finding 4: Detection and Analysis** **Recommendation:** The audit recommended improving controls related to incident response, reporting, and recovery.	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	7/3/2024	Bureau of Departmental Information Systems	**Finding 5: Incident Recovery Plans** **Recommendation:** The audit recommended improving controls related to incident response, reporting, and recovery.	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	7/3/2024	Bureau of Departmental Information Systems	**Finding 6: Configuration Change Controls** **Recommendation:** The audit recommended improving controls related to incident response, reporting, and recovery.	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 2025-26 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
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 56 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 14 through 27)? 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

Fiscal Year 2025-26 LBR Technical Review Checklist

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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 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
5. EXHIBIT D-1 (ED1R, EXD1)							
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y
AUDITS:							
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences [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

Fiscal Year 2025-26 LBR Technical Review Checklist

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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 2023-24 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 14 through 27 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 64 through 69 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.7 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

Fiscal Year 2025-26 LBR Technical Review Checklist

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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 94 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 #24-040?	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 *Salaries 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 26 and 27 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:							

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of State

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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 2024-25? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2024-25. 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 64 through 69 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 2024-25 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							
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 page 124 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 90 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 93 and 94 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 99 through 102 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 (if submitting) and LBR match?	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:							
16.3	Does the FY 2023-24 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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	Action	Program or Service (Budget Entity Codes)					
		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.	The out of balance is due to a BOB revert and reappropriate of fund.					
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 52 through 152 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 128 and 129 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 154 through 156) 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

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	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