



State of Florida
Department of Children and Families

Charlie Crist
Governor

George Sheldon
Secretary

LEGISLATIVE BUDGET REQUEST

October 15, 2010

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Executive Office of the Governor
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Tallahassee, Florida 32399-0001

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

Dear Directors:

The Legislative Budget Request for the Florida Department of Children and Families (department) is submitted with my approval in the format prescribed in budget instructions pursuant to Chapter 216, Florida Statutes. The information, provided electronically and contained herein, is a true and accurate presentation of the Department's proposed needs for the 2011-12 Fiscal Year.

The Legislative Budget Request fulfills the statutory requirement that it be based on our independent judgment of the needs of Florida's most vulnerable citizens. While we are mindful of the difficult fiscal environment, our assessment must include the impact of the economy on the individuals and families we serve. Accordingly, we have requested funding of proposals in the areas of family preservation, mental health, substance abuse, child welfare and independent living. We have also requested urgently needed resources to expand our use of technology to increase the efficiency of our programs providing critically needed benefits such as nutrition assistance to families hurt by the economic downturn. We continue to do more with less, but must continue to innovate to meet the basic needs of families.

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

Mission: Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency

Attached is the Department's response to the request for a proposed 2011-12 budget identifying a 15 percent cut in agency appropriations. While this has been a recurring budget reduction exercise for several years, I am compelled to point out this proposal in no way reflects what the Department needs to ensure basic and necessary services are available, even at minimal levels, to the children and families of Florida. The 15 percent budget reduction exercise forces the Department into an untenable position.

As you are aware, the Department experienced approximately \$200 million in state funding reductions over the last three years. The required budget cut exercise would reduce the Department's budget by another \$230 million in a single year and shred the safety net that our agency is responsible for maintaining to protect the safety and well being of Florida's most vulnerable and indeed all the citizens of our state.

I share your concern for a fiscally prudent approach to the upcoming fiscal year. I pledge the Department will do its part to meet the realities of Florida's challenging economic circumstances. Our commitment to best practices and efficiencies is evident in the \$40 million of federal bonuses earned over the past three years for excellence in increasing adoptions of children in foster care and accurately administering food stamps.

Yet Floridians need our help today more than ever before. Protecting children and preserving families must be an acutely felt priority during this unparalleled moment in state history, when Floridians who never before had to ask for public assistance are experiencing job losses, home foreclosures and the devastating damage to the tourism and seafood industries of the massive Gulf oil spill. More than 2.8 million Floridians were receiving food assistance in August, which was double the number from two and a half years ago.

Aided by our many community partners, the Department helps ordinary people put food on their tables and keep a roof over their heads so families can remain together and strive with dignity toward regaining self-sufficiency. I am convinced too that providing parents and other adults with treatment for mental illness and substance abuse is critical to preventing child abuse and neglect and domestic violence. Investigating the abuse or exploitation of Florida's fragile seniors is also an essential trust and responsibility for the Department.

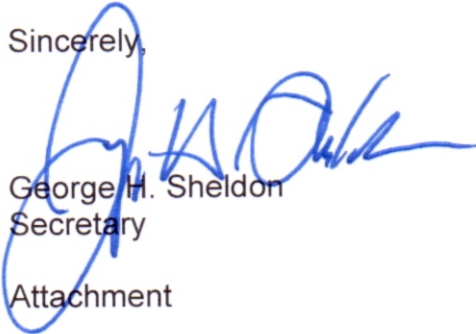
We prepared this 15 percent budget reduction schedule in good faith and submit it in compliance with your request, but I have grave concerns about its impacts should it become a reality. Implementation would eviscerate much of our agency's ability to provide even minimal services to Floridians in need, and the consequences would adversely affect local governments and all components of the justice system.

To maintain and maximize Florida's draw down of federal revenue, while complying with federal regulations and accommodating the escalation of Floridians qualifying for the Supplemental Nutrition Assistance Program (SNAP), the Department would be forced to reduce adult substance abuse treatment by 69 percent, adult community mental health treatment by 71 percent and mental health institutions by 34 percent. Cities, counties and local law enforcement would be further burdened and forced to cope with more citizens in desperate need of such services.

This projected reduction in funding for substance abuse and mental health is particularly troublesome to me. All that I have learned while serving as Secretary of the department leads me to the conclusion that the vast majority of child abuse, adult abuse, domestic violence and homelessness has substance abuse and mental health issues as the underlying cause. These kinds of reductions would result in increased costs in later years in other areas of the department. Families are the social fabric and foundation of our state, and Florida's people are our greatest asset. Without stability and a sense of hope for families, the larger forces of our lives – from education to the economy and public safety – are put at risk.

We look forward to your consideration of what we can do together to provide services to people in need, get them back on their feet and help them achieve self-sufficiency.

Sincerely,



George H. Sheldon
Secretary

Attachment

Schedule VIII B Narrative

Explanation of the Development and Preparation of the Schedule

The Department of Children and Families developed Schedule VIII B in accordance with the Legislative Budget Request instructions. Those instructions require the Department to explain the method utilized. In the transmittal letter provided with the Department legislative budget request, the Secretary of the Department of Children and Families states that the reduction exercise was completed in “good faith” and that he has “grave concerns about its impacts should it become a reality.” The transmittal letter explains that the reduction exercise was prepared in a way that would “maintain and maximize Florida’s draw down of federal revenue, while complying with Federal regulation and accommodating the escalation of Floridians qualifying for the Supplemental Nutrition Assistance Program.” As stated in the transmittal letter, “this forced the Department to reduce adult substance abuse treatment by 69 percent, adult community mental health treatment by 71 percent and mental health institutions by 34 percent.” The following paragraphs provide additional detail on the approach taken by the Department as required by the instructions.

Administrative Reductions

The Department of Children and Families has absorbed \$44.7 million in executive management and administrative cuts during the preceding four fiscal years to protect against cuts to the delivery of direct services to Floridians. These recurring reductions include reduced staffing in the administrative area of 339.25 FTE. Although DCF has made every attempt to absorb these reductions without impacting the timeliness or quality of performance related to requirements imposed on its administrative functioning there is growing concern that as funding shrinks, administrative support and control has become stressed. However, to continue to protect services to the public to the extent possible, the Department began the exercise by focusing on the administrative and management area.

The result is that included in the VIII B schedule are \$15.7 million and 223 FTE in reductions that perform work in the administrative as well as the program planning and management areas in the Department. If these reductions materialize there will be reductions in the legal and appeals hearing staff within the agency. This will result in less ability to respond to court actions adverse to the Department as well as delays in processing appeals that may be favorable to the appellant. If these reductions materialize the Department program offices will no longer be able to spend the same level of effort pursuing new federal grant funding nor will it be able to monitor agency contracted providers as closely at the program level. Finally, if these reductions materialize the Department will be required to consolidate and centralize certain administrative functions that have been decentralized into the regions. This final step creates efficiencies from a processing cost but also reduces the timeliness of the information available to the managers and administrators in the field, relative to day to day expenditure, hiring and other administrative decisions.

Family Safety and Economic Self Sufficiency Budget Entities

The administrative reductions identified in the schedule are not sufficient to meet the target assigned to the agency for the VIII B exercise. Therefore, the Department preceded though its budget and its programs to identify areas that would need to be eliminated or reduced if the VIII B reductions materialized.

Included in this initial identification is a reduction to \$2.6 million in state participation in the homeless program which would leave dealing with this important issue exclusively in the hands of federal and local governments. There are 28 local homeless coalitions that substantially depend on the funds provided by the state to support coalition operations including efforts to ensure that \$70M in federal funds are received in Florida at the local level for response to the needs of the homeless. These coalitions will have to find replacement funds to continue operations at their current level. If replacement funds are not obtained some of these coalitions may cease to exist. The Department coordination staff for the program was not eliminated because they perform an important role in developing statewide homeless abatement strategy and it is assumed that the VIII B reduction would be temporary and the state would once again assist in resolving the homeless issue when revenue increased.

All of the general revenue in the childcare licensing program was eliminated in the exercise. The program would be limited to operations to the extent that could be supported by its fee base. This would reduce the number of inspections in each facility and require a triage of follow up inspection activity based on facility performance. Although each facility would be inspected at least once annually, the potential for serious undetected inspection issues to exist for a longer period will be the result. In addition, the general revenue in the childcare training program has been eliminated and program operations reduced. This requires that those that provide the training become more self-regulating. This has some merit where these programs are conducted within the community college system but raises the potential for individual training program quality failure.

As explained in the transmittal letter from the Secretary of the Department of Children and Families, the remaining activities associated with the Economic Self Sufficiency and Children and Family Safety budget entities were preserved to ensure compliance with Federal regulations and accommodate the escalation of Floridians qualifying for the Supplemental Nutrition Assistance Program.

Substance Abuse and Mental Health

Consequently, the final steps in completing the exercise required a focus on substance abuse programs and programs to treat those with serious mental illness. Five years ago, the State of Florida increased the forensic mental health capacity within the Department in secure and non-secure institutional settings. As of this time a surplus is projected in this program area as well as in the sexual violent predator program. It is not certain that the portion of this reduction related to efficiency in handling forensic cases can be maintained because the number of persons requiring secure settings compared to

step down forensic settings cannot not be accurately predicted. In addition, the surplus dollars that have been identified as part of this schedule VIII B exercise may not occur but the number of forensic cases and sexually violent predators assigned to the Department is beyond Department control, difficult to precisely project and subject to legal mandates. Consequently, nonrecurring contingency funding should be included in the general appropriations act for funding forensic cases subject to additional approval based on circumstances within the fiscal year.

There is a significant reduction in the Mental Health budget entity within this schedule. All mental health services for children were retained and the focus of the reduction is on services to adults. A substantial reduction in funding for local adult community mental health services would occur if the reductions were to materialize. The reduction in state funding identified in the exercise will require the state to obtain permission to fall below the required maintenance of effort or federal funding from the Community Mental Health Services block grant will be reduced. If the reductions are realized the Department will withdraw funds from numerous Crises Stabilization Units; the number of case managers will be reduced which will impact the successful performance of individuals that rely on the programs; mobile crisis assessment teams will be eliminated; and FACT teams that serve the 3,100 most severely disabled group of adults with serious mental illness will be reduced which will result in a partial or complete loss of service to some of those individuals statewide. As stated in the transmittal letter "cities, counties and local law enforcement will be further burdened and forced to cope with more citizens in desperate need of such services" if these reductions materialize. The suffering of the untreated individuals will be very high.

In addition, if these reductions were to be realized capacity within state operated mental health hospitals for individuals with severe illness would by necessity be reduced. Every attempt to find ways to minimize service impacts to those treated would be examined, including expanding community services to improve efficiency, but the reality is these so called deep end services would be limited and waiting lists would grow. Depending on the adjustments to service that could be developed as many as 300 civil institutional beds in the state mental health hospital facilities would be closed. Because all of the civil institutional beds are full, a reduction of this magnitude would require a phased in approach to ensure that all persons currently receiving service would continue to be served until they adequately improved. Nonrecurring funds would be necessary to offset the initial reduction to ensure that the recurring reduction was done in an orderly way.

As stated in the transmittal letter, the Secretary of the Department of Children and Families has concluded that mental health difficulties and substance abuse are significant drivers in homelessness, destabilization of families, domestic violence, adult abuse and child abuse. Never the less, the agency cannot meet the requirements of the schedule VIII B exercise without including reductions in substance abuse services on the schedule. Substance abuse services provided directly to children have been preserved but there is one program element in the children's program area that has been identified in the exercise that provides billboard encouragement to adults concerning the activities of children and youth.

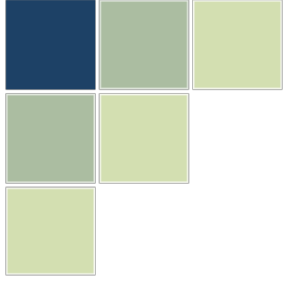
Adult service reductions in substance abuse would reduce detoxification services. Approximately 3,800 less persons would be served and approximately 3,000 persons would be diverted from residential to outpatient detoxification service lowering the success rate for this group. In addition, the current evidence based residential services model for recovery would be changed to a transitional housing model with a clinical services overlay in order to maintain services for as many in recovery as possible. However, success rates would be reduced in this model, approximately 250 fewer people would be served, as well as approximately 1,600 persons that would need to be diverted to the transitional housing approach. As stated in the transmittal letter, "These kinds of reductions would result in increased costs in later years in other areas..."

Welfare Transition Trust Fund Reductions

In addition to the state funds reduction exercise assigned to the Department along with other state agencies, the Department was assigned a TANF funds target and asked to include a schedule VIII B exercise for this funding source. Although TANF is the subject of an estimating conference and final TANF allocations will be made within that framework the Department anticipates that the TANF reduction may be met by utilizing recent surpluses between the conference estimate and what has actually materialized. The agency does not recommend reducing the amount of the TANF cash assistance payment or adjusting eligibility.

Social Service Block Grant Reductions

The Department was also assigned a target for the Social Services Block Grant (SSBG) federal funds. These funds are utilized by the legislature within the agency's child welfare program and have been distributed throughout the agency Family Safety and Children's Services budget entity in accordance with legislative decisions. Anything other than a reduction in proportion to the legislative allocation decision would appear to be a violation of legislative intent. Therefore, the Department has assigned the reduction amounts in the SSBG federal funds in proportion to the amount legislatively allocated.



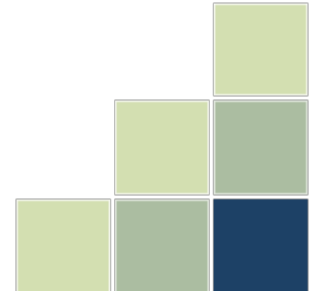
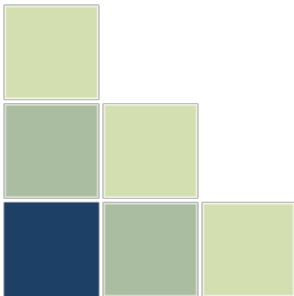
Florida
Department
of
Children & Families

Fiscal Year 2011-2012

Department Level
Exhibits

&

Schedules



Listing of Agency IT Systems

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

Dept/Agency: **Department of Children and Families**
 Prepared by: **Kathy Austin**
 Phone: **921-2280**
 Date Completed: **10/9/2010**

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
1	Abnormal Involuntary Movement Scale	Tracks resident Tardive data.	Mental Health Institutions	Substance Abuse & Mental Health
2	Abuse Hotline Web Reporting Tool	Provides the general public a way to report adult and child abuse and neglect to the Florida Abuse Hotline via the Internet.	Family Safety and/or Adult Services	Child and Adult Safety
3	Access Authorization Request Information System (AARSYS)	Tracks AAR forms received by MIS. Tracks security data for all staff accessing departmental systems including security agreement form and security awareness training dates.	Information Technology Services	IT Security/Risk Mitigation
4	ACCESS Document Imaging	Allows users to scan documents, create thumbnails, and store the records and user demographics for later retrieval. System includes a web-enabled viewing application for retrieving documents for on-line viewing.	ACCESS	Self Sufficiency
5	ACCESS Florida Prescreening Tool	A quick and easy way for customers to find out if their household might be able to get: help buying food, cash assistance, low or no cost health care, or help paying Medicare premiums.	ACCESS	Self Sufficiency
6	ACCESS Florida web application	An intranet/internet application that allows recipients and applicants to complete an electronic application for Food Stamps, Cash Assistance, Medicaid and Nursing home and Medicaid Coverage.	ACCESS	Self Sufficiency
7	ACCESS Hearings	Used as a case tracking mechanism to keep Service Center staff aware of upcoming hearings and tracks	ACCESS	Self Sufficiency

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		outcome.		
8	ACCESS Integrity Fraud Reporting System	The ACCESS Integrity Fraud Reporting system is an Internet-based input reporting form designed to store and track reports of suspected public assistance fraud. The Program Office administrative module is accessed through the DCF Intranet.	ACCESS	Agency Financial and Administrative Systems Support
9	ACCESS Integrity Online	Also known as FFP. It is our statewide data collection system for all ACCESS integrity referrals. Currently, there are 395 users, which include All staff, supervisors, QA, OPA's, whoever may need access to the data. (Some of these us	ACCESS	Self Sufficiency
10	ACCESS Kidcare	Intranet application for processing KidCare Applications. Florida's KidCare program provides children with medical coverage and the Department's role is to determine if these children are eligible for Medicaid coverage. Receives records from Florida Healthy Kids, the group that determines eligibility for the KidCare program, and then notifies them of the disposition of each application.	ACCESS	Self Sufficiency
11	ACCESS Management System (AMS)	Web enabled application for the ACCESS worker. Provides worker a browser based presentation of the client entered data, and matching data from FLORIDA. Allows the worker to modify data entered in ACCESS by the client. Worker is able to initiate the transfer of the data into FLORIDA.	ACCESS	Self Sufficiency
12	Accounting Invoice/Cash Flow	Tracks payment of invoices and available cash	Substance Abuse & Mental Health	Agency Financial and Administrative Systems

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
				Support
13	Accounts.mdb	Provider accounts - fiscal data Program of department's clients final invoices.	Region Administration	Agency Financial and Administrative Systems Support
14	AD Query Facility	Allows management/monitoring of AD user accounts	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support
15	Admissions Processing	Tracks admission processing compliance	Mental Health Institutions	Substance Abuse & Mental Health
16	Adobe Elements	Allows criminal history information that is documented in a word document to be automatically converted to a secure pdf file for viewing via the web by district staff.	Family Safety and/or Adult Services	Child and Adult Safety
17	Adoption Exchange System (AES)	Provides a statewide data base of children receiving adoption services, and families seeking to adopt special needs children. The system enables adoption counselors and home finders statewide to seek matches on certain traits between prospective families and children.	Family Safety	Child and Adult Safety
18	Adoption Reunion Registry	Gives adult adoptees a chance to be reunited with their birth families without taking court action to have their adoption records unsealed.	Family Safety	Child and Adult Safety
19	Adult Services Information System (ASIS)	Provides a statewide database of clients waiting for services, medwaiver log/tracking component for identifying and approving clients to receive Medicaid waiver services, and case management component.	Adult Services	Child and Adult Safety
20	Alcohol, Drug Abuse & Mental Health Data Warehouse	The objective of ADMDW is to maintain information for the purpose of meeting federal, state and local reporting requirements. The current system	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		receives files from providers via online and batch updates to SAMH. These data are update weekly from the Oracle SAMH production instance. The ADMDW is also populated with Medicaid information provided by the Agency for Health Care Administration (AHCA). The ADMDW is updated weekly.		
21	AmCom Intellidesk System	Call routing system	Mental Health Institutions	Agency Financial and Administrative Systems Support
22	Appeal Hearings Web Application and separate scanning application	The web application manages all hearings, and a separate application scans to the ACCESS filing system.	Inspector General	Agency Financial and Administrative Systems Support
23	Application Registry	The APPLICATION REGISTRY contains information on all computer application systems that are currently maintained by Information Systems within the Department of Children & Families. These application systems reside on a wide variety of physical platforms,	Information Technology Services	IT Administration and Management
24	Automated Requisition Tracking	Tracks requisitions through creation, approval, assignment, receiving and processing.	Administration	Agency Financial and Administrative Systems Support
25	Automize	Multi-platform advanced task scheduling and automation software.	Family Safety and/or Adult Services	IT Administration and Management
26	Baker Act Court Reporting	Tracks court information on Baker Act residents.	Mental Health Institutions	Substance Abuse & Mental Health
27	Bank Accounting	Maintain data and check writing for local bank accounts.	Region Administration	Agency Financial and Administrative Systems Support
28	Behavior Tracking	Tracks/records resident behaviors.	Mental Health Institutions	Substance Abuse & Mental Health
29	Budget	The Budget System collects information	Administration	Agency Financial and

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		for reporting the various aspects of the annual budget.		Administrative Systems Support
30	Budget Certified Forward	Certifies last years budget for payments to be made in current year; tracks payables, receivables and encumbrances for certified forward money for DCF.	Administration	Agency Financial and Administrative Systems Support
31	Budget Resource Center	The Budget Resource Center is a portal to the Budget web systems. Users must go through LDAP to get to the system. The system then controls access to the budget systems like the Spending Plan and Budget Transactions.	Administration	Agency Financial and Administrative Systems Support
32	Bulletin Board Information System (BBIS)	Bulletin Board topics where anonymous messages are left and answered by topic moderators	Administration	Desktop Computing
33	Canteen Point-of-Sale System	Tracks Resident Canteen Inventory and Sales.	Mental Health Institutions	Substance Abuse & Mental Health
34	Caretaker	Used to retrieve historical caretaker screening results (Suncoast Region).	Family Safety	Child and Adult Safety
35	Caretaker Screening Information System (CSIS)	Tracks the results of background screening required for individuals serving as caretakers for the children and families served by the department's programs.	Family Safety	Child and Adult Safety
36	Case Manager Tracking	Tracks residents' case managers.	Mental Health Institutions	Substance Abuse & Mental Health
37	Cemetery Plot Tracking System	Records plots in state cemetery.	Mental Health Institutions	Agency Financial and Administrative Systems Support
38	Census/Demographic Tracking	Records resident demographics and tracks admissions, discharges and transfers.	Mental Health Institutions	Substance Abuse & Mental Health
39	Center Committees	Record/report minutes, agendas and meetings	Mental Health Institutions	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
40	Center Forms	Maintain NFETC forms	Mental Health Institutions	Clinical Care and Clinical Services Management
41	Center Outcome Measures	Report performance measure data	Mental Health Institutions	Agency Financial and Administrative Systems Support
42	Center Policies	Schedule and review of policies	Mental Health Institutions	Agency Financial and Administrative Systems Support
43	Center Printer Cartridge Use	Tracks use/cost of printer cartridges	Mental Health Institutions	IT Administration and Management
44	CGI Contact List - Blackberry	Provides a mechanism for "pushing" a list of names with phone and email information for CGI, the FSFN development vendor, to specified Blackberry devices, in this case IS Management. Includes an administration view to manage list recipients, list members	Information Technology Services	Agency Financial and Administrative Systems Support
45	Chart Eight	Chart8 is a client/server system used by district and program office staff to help optimize the use of federal financial participation in funding departmental programs. System data is supplied through GRANTS data extracts. Eight reports and nine report	Administration	Agency Financial and Administrative Systems Support
46	Chart Review	Provides a comprehensive overview of resident clinical data.	Mental Health Institutions	Substance Abuse & Mental Health
47	Checkbox Survey		Family Safety	Child and Adult Safety
48	Child Care Information Systems (CCIS)	A web and client based information system used to manage child care licensing. The public portal is a comprehensive web based resource for parents interested in locating quality child care arrangements and for individuals working within the child care arena. The private portal is a	Child Care	Child Care

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		comprehensive web based resource for child care licensing staff and contractors to conduct and manage licensing inspections and administer child care training course, issue credentials based on child care training and report on all data captured within the system.		
49	Child Welfare Information Delivery System	Data repository housing data from separate Family Safety related data systems. Customers establish connections to the data via Microsoft Access and other tools for purposes of ad hoc data reporting. Security access to the data is administered at the tab	Family Safety	Agency Financial and Administrative Systems Support
50	Child Welfare Legal System	Tracks courts hearings, document filing, court deadlines, court order drafting and submission, scheduled depositions, case planning conferences, and CWLS legal case file locations. Provides attorneys with a tool to prepare for court hearings at which judges will make a decision affecting the safety and well being of children.	Family Safety	Child and Adult Safety
51	Child Welfare Resource Record	Consolidation of forms and documents, automates entry of common information throughout the various forms used by child welfare staff.	Family Safety	Child and Adult Safety
52	Children Not Seen System	Provides an opportunity for headquarters operations staff to monitor and communicate with regions about the status of required face-to-face visits with children under department supervision. In addition, the system is used as a tool at the Region and Community Based Care	Family Safety	Child and Adult Safety

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		(CBC) provider level to monitor and address visitation.		
53	Cisco switch monitoring	Allows monitoring of network switch uptime	Mental Health Institutions	IT Administration and Management
54	Civil Staff Reporting (Direct Care)	Records Civil Services direct care staffing per shift.	Mental Health Institutions	Agency Financial and Administrative Systems Support
55	Client Relations	Track incoming calls to district client relations	Family Safety and/or Adult Services	Child and Adult Safety
56	Clinical Scorecard	Displays/reports medication usage.	Mental Health Institutions	Substance Abuse & Mental Health
57	Code Search	Assist in defining proper diagnosis coding	Mental Health Institutions	Substance Abuse & Mental Health
58	Communication Service Request Tracking	The Lotus Notes Communication Service Tracking System (CSRTS) has been developed to automate DCF~s Communication Service Request (CSR) approval process. This system allows all the Lotus Notes users to fill out a CSR form on-line and to automatically send	Information Technology Services	IT Administration and Management
59	Community Assessment	Clinical Evaluation	Mental Health Institutions	Substance Abuse & Mental Health
60	Community Partner System (CPS)	Used by the ACCESS Program community partner liaisons to report and track community partners.	ACCESS	Self Sufficiency
61	Community Point-of-Sale	Inventory and Cash system	Mental Health Institutions	Substance Abuse & Mental Health
62	Community Provider	Community Provider Database	Mental Health Institutions	Substance Abuse & Mental Health
63	Competency Evaluation Administration Record	Provides electronic version of Form 346	Mental Health Institutions	Substance Abuse & Mental Health
64	Computer Management	Tracks computer software hardware	Substance Abuse & Mental Health	IT Administration and Management
65	Computrition Food Management/Nutritional	Tracks and records resident diet information and provides recipe/menu	Mental Health Institutions	Substance Abuse & Mental Health

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	Assessment	management.		
66	Consultation Referral/Report	Provides electronic version of Form 29	Mental Health Institutions	Substance Abuse & Mental Health
67	Consumer Satisfaction Tracking System	Tracks Resident Satisfaction Surveys.	Mental Health Institutions	Substance Abuse & Mental Health
68	Contact Center Express (CCE)	Telephony application that allows the phoeniX application and PBX to communicate. Mandated to provide accurate call end time of call which is the begin time for the investigation report. This is popped to the user. Also allows faxes/web reports to be routed same as voice call	Family Safety and/or Adult Services	Child and Adult Safety
69	Contract Database	This SQL Server database is used by DCF contract managers in central and district program offices to collect and report data related to SAMH contract Exhibit D f(performance measures and targets) and Exhibit G (funding for services to be provided).	Administration	Substance Abuse & Mental Health
70	Cost Allocation System	The purpose of the Cost Allocation System (CAS) is to allocate costs to the proper entities. CAS collects data for a variety of resources (e.g., staff time, hardware storage and utilization, network transactions, etc.). The system then combines this data with the appropriate unit cost to create monthly billings and other associated reports. CAS interfaces with several other systems (WebWIP, ServiceCenter, FLAIR and GRANTS) in order to collect the required information.	Information Technology Services	IT Administration and Management
71	Court Report Scheduler	Schedules Resident Competency Evaluations.	Mental Health Institutions	Substance Abuse & Mental Health

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
72	Court Reports Tracking System	Tracks Resident Competency Evaluations.	Mental Health Institutions	Substance Abuse & Mental Health
73	CR Projects	Provides statistics of Region IT/GS Projects	Administration	Agency Financial and Administrative Systems Support
74	Dashboard - Internet	The Dashboard is a web based system that displays and tracks performance measures for the department. This is the internet version which contains less functionality than the intranet version.	Administration	Agency Financial and Administrative Systems Support
75	Dashboard - Intranet	The Dashboard is a web based system that displays and tracks performance measures for the department. This is the intranet version which contains more functionality than the internet version.	Administration	Agency Financial and Administrative Systems Support
76	Data & Reports	Used to report program data by state, district and units within. Reports caseload size and trends. Produces daily reports and two monthly management reports	ACCESS	Self Sufficiency
77	Data Warehouse	Provides data for upload to HQ	Mental Health Institutions	Agency Financial and Administrative Systems Support
78	DCARTER	Invoicing and grant expenditure system	Refugee Services	Emergency Transition
79	DCF Child Death Review	This application is for collecting information and reporting on children who die due to abuse or neglect as well as children who die (not from abuse or neglect) while under active services.	Family Safety	Child and Adult Safety
80	DCF Internet		Administration	Portal/Web Management
81	DCF Intranet		Administration	Portal/Web Management
82	DCF Organization Review Comments and Suggestions		Administration	Agency Financial and Administrative Systems Support
83	DCF Quality Assurance	This system is for collecting information	Administration	Agency Financial and

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		and reporting on child welfare quality assurance activities. Each Region, Community Based Care Agency (CBC), and Headquarters has one or more Quality Assurance Specialists (users) who review case work and systems		Administrative Systems Support
84	DCFTracker	The purpose of DCFTracker is to log assignments, signature requests, and telephone calls or other issues that require an action.	Administration	Agency Financial and Administrative Systems Support
85	Diagnosis Tracking	Tracks Resident Diagnosis.	Mental Health Institutions	Substance Abuse & Mental Health
86	Diagnosis Tracking	Client Diagnosis Database	Mental Health Institutions	Substance Abuse & Mental Health
87	Dietary	Dietary Tracking and Food Delivery System	Mental Health Institutions	Substance Abuse & Mental Health
88	Domestic Violence Batterer Intervention Program Administration	This application is a web page to allow the Domestic Violence Batterer Intervention Program personnel to add/update the information for the Domestic Violence Batterer Intervention Program Lookup page.	Domestic Violence	Emergency Transition
89	Domestic Violence Batterer Intervention Program Lookup	This application is a web page for the lookup of Certified Batterer Intervention Programs and Assessors. The information can be searched by Judicial Circuit, County, City or Zip and by Name.	Domestic Violence	Emergency Transition
90	Duty Manager - Blackberry Application	Provides a mechanism for "pushing" a list of names with phone and email information to specified Blackberry devices, in this case, IS Management and Duty Managers. Includes an administration view to manage list recipients, list members, and automatic pus	Information Technology Services	IT Administration and Management

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
91	Electronic Forms	Commercial Off-the-Shelf (COTS) software that has been customized so that DCF Form Library is available electronically statewide. The PDF Infusion software is a web enabled Lotus Notes application that uses Adobe Acrobat forms registered in the system to	Administration	Agency Financial and Administrative Systems Support
92	EMC Documentum IRM Client	Used to encrypt and protect documents from unauthorized viewing, copying and printing.	Family Safety and/or Adult Services	Child and Adult Safety
93	Emergency Contact List - Blackberry Application	Provides a mechanism for "pushing" a list of names with phone and email information to specified Blackberry devices. Includes an administration view to manage list recipients, list members, and automatic push schedule.	Administration	Agency Financial and Administrative Systems Support
94	Emergency Financial Assistance for Housing Program (EFAHP)	Provides a one-time payment of up to \$400 to families who are totally without shelter or face the loss of shelter because of non-payment of rent or mortgage. It also helps those families who have had household disasters such as fire, flood, or other accidents.	Homelessness	Emergency Transition
95	Emergency Treatment Order Tracking	Tracks Emergency Treatment Orders.	Mental Health Institutions	Substance Abuse & Mental Health
96	Employee & Leave Requests	Record/report requests for leave and schedule changes	Mental Health Institutions	Agency Financial and Administrative Systems Support
97	Employee Data System	Provides a display of basic employee information.	Mental Health Institutions	Agency Financial and Administrative Systems Support
98	Employee ID Badger	Allows creation/management of staff IDs.	Mental Health Institutions	IT Administration and Management
99	Employee Information	Provides employee demographics &	Mental Health Institutions	Agency Financial and

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	System	position info		Administrative Systems Support
100	Employee Training	Record/report employee training attendance	Mental Health Institutions	Agency Financial and Administrative Systems Support
101	Engineering Johnson Control Systems	Boiler Control Systems	Mental Health Institutions	Agency Financial and Administrative Systems Support
102	Enterprise Client Index - VS Birth Records	Provides Family Safety and Hotline staff access to confidential birth records from the Department of Health to verify identities and perform diligent searches. Includes HIPAA compliant audit trail.	Family Safety and/or Adult Services	Child and Adult Safety
103	Enterprise Client Index - VS Deaths	Provides search and view of Department of Health Vital Statistics death records.	Family Safety and/or Adult Services	Child and Adult Safety
104	E-Plans	Electronic resident recovery plan.	Mental Health Institutions	Substance Abuse & Mental Health
105	Explore Adoption Newsletter Subscription Request	An internet website to assist with increasing awareness on adoption in Florida with functionality to subscribe to a monthly newsletter.	Family Safety	Child and Adult Safety
106	FAX Phonebook	Allows users to track FAX numbers. Used by an automated FAX system to populate the fax number.	Information Technology Services	IT Administration and Management
107	Faxstat	Provides near real-time statistics of Hylafax data	ACCESS	Self Sufficiency
108	Fee Maintenance Accounts Receivable	Supports the timely and orderly collection of fees for client services for DCF and the Agency for Persons with Disabilities. The OCA for DCF = 4FFMA & the OCA for APD = 4FFMD.	Administration	Agency Financial and Administrative Systems Support
109	FinallInvoice.mdb	Invoice management - fiscal data Program of department's clients final invoices. Must retain.	Substance Abuse & Mental Health	Substance Abuse & Mental Health

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
110	First Coastal DDE	Medicaid/Medicare Billing/Tracking system	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support
111	Florida Inspector General Expertise System	FIGES is a repository for all Inspector General Offices statewide. Data in the system comes from all state agencies, universities, and select private sector participants. The data includes all relevant contact information, certifications, and areas of e	Inspector General	Agency Financial and Administrative Systems Support
112	Florida On-line Recipient Integrated Data Access System (FLORIDA)	Provides operational support for Public Assistance eligibility determination and Child Support Enforcement processing. It serves the working poor, children, and elderly or disabled citizens of the state who are eligible for public assistance, medical assistance and child support enforcement services.	ACCESS and DOR/Child Support Enforcement	Self Sufficiency
113	Florida Safe Families Network (FSFN)	Statewide automated child welfare information system. Incorporates reporting and tracking of alleged child and adult abuse or neglect, child and adult safety assessment tools, and case management functions.	Family Safety and/or Adult Services	Child and Adult Safety
114	Food for Florida (FFF)	Provides food stamps benefits to Florida's residents who have experienced a natural disaster whenever the emergency food stamp program is authorized following a disaster.	ACCESS	Self Sufficiency
115	Food for Florida Volunteer and DHL Tracking	This system allows the department to enroll and track persons who have volunteer to assist with the delivery of services during a natural disaster. This system will be available 24-hours once a disaster has been declared.	ACCESS	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
116	Forensic Administrator's Web Page	Web application for sharing files, ideas, suggestions and assignments.	Mental Health Institutions	Substance Abuse & Mental Health
117	Forensic Staff Reporting (Direct Care)	Records Forensic Services direct care staffing per shift.	Mental Health Institutions	Agency Financial and Administrative Systems Support
118	Forensic Waiting List	Database for tracking and reporting individuals on waiting lists for admissions into state-operated mental health treatment facilities.	Mental Health	Substance Abuse & Mental Health
119	FSH Intranet Web site	Portal to staff and resident data.	Mental Health Institutions	Portal/Web Management
120	Functional Assessment Rating System	Tracks residents' functional assessment ratings.	Mental Health Institutions	Substance Abuse & Mental Health
121	Functional Assessment Rating System	Clinical Evaluation for improvement.	Mental Health Institutions	Substance Abuse & Mental Health
122	Functional Assessment Ratings Scales-Registration and Certification	The Functional Assessment Rating Scales: Registration and Certification is the primary registration and certification tool for providers of mental health services. The application serves as the credentialing agent for persons that complete the Department's mental health outcome measure: the Children's Functional Assessment Rating Scale (CFARS) and the Functional Assessment Rating Scale (FARS). The CFARS and FARS help providers track client treatment progress. The FARS also serve as a performance outcome measure for state mental health treatment facilities.	Substance Abuse and Mental Health	Substance Abuse & Mental Health
123	Functional Disabilities Tracking	Tracks resident functional disabilities.	Mental Health Institutions	Substance Abuse & Mental Health
124	Funds Accountability System (FAST)	Tracks Client Welfare Trust Fund information, transactions, and balances.	Administration	Agency Financial and Administrative Systems Support
125	Geographic Information	A Geographic Information System	Administration	Agency Financial and

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	System	(GIS) allows users to visually relate data in space (i.e. see it on a map). This spatial analysis allows for more informed decisions, alternative organization of information, improved communication, increased efficiency an		Administrative Systems Support
126	Grants, Revenue Allocation and Tracking	Identifies cash ownership by trust fund, assists in preparation of financial schedules, determines earnings by grant for cash draw needs, provides data to estimate future cash needs by grant, and processes data for financial statements.	Administration	Agency Financial and Administrative Systems Support
127	Guardian/Representative Info	Tracks resident Guardian information.	Mental Health Institutions	Substance Abuse & Mental Health
128	High Risk Meeting Report	Provides electronic version of Form 156	Mental Health Institutions	Substance Abuse & Mental Health
129	Highlands Library System	Provides a Circulation/Card Catalog System for Resident Libraries.	Mental Health Institutions	Clinical Care and Clinical Services Management
130	Home Care for Disabled Adults Vouchering System (HCDA)	Tracks client/payee, voucher, and payment history information for Adult Services' disabled adults and creates vouchers	Adult Services	Child and Adult Safety
131	Horitherapy Point-of-Sale	Tracks Horitherapy Inventory and Sales.	Mental Health Institutions	Substance Abuse & Mental Health
132	HSN Audit	The HomeSafenet Audit System enables employees of the Data Reporting unit within the Office of Family Safety to search historic log files of the HomeSafenet (HSn). This search of the log files enables the Data Reporting unit to respond to specific audit requests by the Inspector General's office and/or department management. A search of the HSn log files will determine which cases or	Family Safety	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		investigations were accessed by a specific user on a specific date or which users accessed specific case or investigation data on a specific date.		
133	Human Resources Employee Management System	Provides a means for HR to update Employee Data Base with new hires/transfers/terminations.	Mental Health Institutions	Agency Financial and Administrative Systems Support
134	ID Badge System	Tracks, records and prints resident and employee ID's.	Mental Health Institutions	Agency Financial and Administrative Systems Support
135	IG Reports	The IG Reports application provides the ability to search the DCF Office of Inspector General's Investigation and Internal Audit Reports by specific fields or by key words within the text of a report. The application has two major functional pieces; the	Inspector General	IT Administration and Management
136	Impact360		Family Safety and/or Adult Services	Child and Adult Safety
137	Impromptu	HR Reports	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support
138	IMS Plus	Assists in the assigning of cases to available case workers. Produces required documents (Suncoast Region).	ACCESS	Self Sufficiency
139	Incident Reporting	The Lotus Notes Incident Reporting System is a tool for entering incidents concerning altercations, client deaths, client illnesses for injuries, sexual batteries, suicide attempts and etc. ad defined in DCF Operational Procedure No. 215-6.	Administration	Agency Financial and Administrative Systems Support
140	InfoRad	Digital Pager System	Mental Health Institutions	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
141	Information Delivery Service - Query Facility	Target Production Deployment October 2010 Using the Information Delivery Service Query Facility, implements the conversion of mass quantities of raw administrative/financial data into useful, timely information using distributed systems technologies.	Administration	Agency Financial and Administrative Systems Support
142	Information Release Tracking System	Tracks requests for confidential information.	Mental Health Institutions	Substance Abuse & Mental Health
143	Information Resource Request (IRR) System	Automated tracking and routing of IRR requests for quotes and purchases.	Information Technology Services	IT Administration and Management
144	Information System for Allocating Cost	This system is used to collect Data Center resource utilization and costs; generates monthly bills to customers based on their resource utilization, to include analyst and programmer time, CPU utilization, disk space utilization, print lines, and mainframe transactions.	Information Technology Services	IT Administration and Management
145	Intake Management System (IMS)	System used by ACCES staff to track applications from the point they are submitted by a client until they are authorized or denied. System only used to access historical data.	ACCESS	Self Sufficiency
146	Integrated Benefit Recovery System	Facilitates and aids in the recovery of over-issuance of public assistance benefits.	ACCESS	Self Sufficiency
147	Integrated Child Welfare Services Information System (ICWSIS)	Tracks out of home placements, payments, and services provided (supported by Suncoast Region).	Family Safety	Child and Adult Safety
148	Integrated Internal Audit Mgmt System (IIAMS)	A paperless system that measures and manages the audit process	Administration	Agency Financial and Administrative Systems Support
149	Interstate Compact System	Maintains and tracks the interstate placements made by the State of Florida for other states and the requests for placements made by the	Family Safety	Child and Adult Safety

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		State of Florida to other states. Maintains information on cases sent to and from Florida, every agency with which the Interstate Compact on the Placement of Children (ICPC) office interacts, each home study requested and completed, correspondence and various other information pertaining to these cases.		
150	Inventory - Center	General property inventory tracking	Mental Health Institutions	Agency Financial and Administrative Systems Support
151	Inventory - Food	Center food inventory tracking	Mental Health Institutions	Substance Abuse & Mental Health
152	Inventory - Medication/Drug Room	Center Medications inventory tracking	Mental Health Institutions	Substance Abuse & Mental Health
153	Inventory - Pills (Drugs)	Pills inventory tracking	Mental Health Institutions	Substance Abuse & Mental Health
154	Inventory - Resident Canteen/Shop	Resident Canteen/Shop inventory tracking	Mental Health Institutions	Agency Financial and Administrative Systems Support
155	Inventory - Warehouse	Warehouse inventory tracking	Mental Health Institutions	Agency Financial and Administrative Systems Support
156	Investigation Intake Feedback Form	An intranet form designed to gather feedback from field staff regarding Hotline abuse report intake quality and issues.	Family Safety and/or Adult Services	Agency Financial and Administrative Systems Support
157	Investigations Web Application	A semi-paperless system that manages the investigative process & correspondence tracking	Inspector General	Agency Financial and Administrative Systems Support
158	Invite Tracker	The Invite Tracker System is designed to record invitations to the DCF Secretary for speaking engagements and other events. The system captures the details regarding each invitation	Administration	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		along with the speaking topic, the staff person responsible for preparation.		
159	IS HelpDesk	Tracks user requests for IT services.	Mental Health Institutions	Helpdesk
160	ITS Employee of the Month	Provides for submission of nominations for the IS Employee of the Month.	Information Technology Services	IT Administration and Management
161	ITS Project Status Updates	This web-based tracking system allows those with access to the DCF Intranet to view the latest status of Information Systems projects in progress.	Information Technology Services	IT Administration and Management
162	ITS Suggestion Box		Information Technology Services	IT Administration and Management
163	Juvenile Incompetent to Proceed (JITP)	Database for clients served in the JITP facility. It is used daily by the Children Mental Health Program staff as an assessment tool to collect, analyze and report data pertaining to socio-demographic characteristics, eligibility determination and enrollment of clients served in the JITP facility	Mental Health	Substance Abuse & Mental Health
164	Kodak Digital X-Ray	Digitizer for X-Ray system	Mental Health Institutions	Substance Abuse & Mental Health
165	Kronos (Time keeping & Scheduling)	Center time clock software	Mental Health Institutions	Agency Financial and Administrative Systems Support
166	Laboratory System	Tracks lab requests and results.	Mental Health Institutions	Substance Abuse & Mental Health
167	Legal Case Tracking Information System (LEGAL)	Tracks Region Legal cases by type, location, and attorney and registers all actions taken on the case.	Administration	Agency Financial and Administrative Systems Support
168	Legal Files	Off the shelf case management software for Legal Case Management.	Administration	Agency Financial and Administrative Systems Support
169	Legal Service Contact List - Blackberry	Provides a mechanism for "pushing" a list of names with phone and email information to specified Blackberry devices, in this case Legal Services	Administration	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		Staff. Includes an administration view to manage list recipients, list members, and automatic push schedule.		
170	Lightning Fax	Fax Server that accepts the faxes before being routed to the (CCE) application using POP 3	Family Safety and/or Adult Services	Child and Adult Safety
171	Living Environment Alternative Preferences Tracking	Displays Virtual Tours of Discharge Facilities.	Mental Health Institutions	Substance Abuse & Mental Health
172	Lotus Notes Instant Messaging	Used to query imported Instant Messaging logs from Lotus Notes.	Administration	Agency Financial and Administrative Systems Support
173	Maintenance Connection	Preventive Maintenance and Workorder Database	Mental Health Institutions	Agency Financial and Administrative Systems Support
174	Maintenance Open PO's	Tracks Maintenance Dept Purchase Orders	Mental Health Institutions	Agency Financial and Administrative Systems Support
175	Maintenance Work Orders	Records/reports Center Work Orders	Mental Health Institutions	Agency Financial and Administrative Systems Support
176	Maladaptive Behaviors	Tracks/records resident maladaptive behaviors.	Mental Health Institutions	Substance Abuse & Mental Health
177	Managing for Excellence		Administration	Agency Financial and Administrative Systems Support
178	Medical & Dental Appointments	Tracks resident appoints (internal and external)	Mental Health Institutions	Substance Abuse & Mental Health
179	Medical Bills Log	Tracks resident outpatient charges.	Mental Health Institutions	Clinical Care and Clinical Services Management
180	Medical Clinics/Registries (15)	Tracks Medical Clinics and Registries data.	Mental Health Institutions	Substance Abuse & Mental Health
181	Medical Service Director Review	Allows monitoring of physicians' caseloads.	Mental Health Institutions	Substance Abuse & Mental Health
182	Medical Unit Admissions/Transfers	Tracks Medical Unit Admissions/Transfers.	Mental Health Institutions	Substance Abuse & Mental Health

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
183	Medication Consent Tracking	Tracks all resident medication consents.	Mental Health Institutions	Substance Abuse & Mental Health
184	Medics Pharmacy System	Pharmacy Inventory and Distribution System	Mental Health Institutions	Substance Abuse & Mental Health
185	Mental Health Quality Review Tracking	Quality Assurance tracking system	Mental Health Institutions	Clinical Care and Clinical Services Management
186	MicroTel Call Accounting	Phone Call Accounting Software	Mental Health Institutions	Agency Financial and Administrative Systems Support
187	MicroTestQ Psychology Testing	Records/reports MMPI test results	Mental Health Institutions	Substance Abuse & Mental Health
188	Minor Property	Tracks property under \$1000.	Mental Health Institutions	Agency Financial and Administrative Systems Support
189	Mobile Inventory/Phone Bill	Used to assign and track mobile inventory items to staff. Provides capability to view and certify monthly cell phone invoices.	Information Technology Services	Desktop Computing
190	Monthly Nursing Progress Notes	Provides electronic version of Form 78.	Mental Health Institutions	Substance Abuse & Mental Health
191	Mortality Registry	Records resident death information.	Mental Health Institutions	Substance Abuse & Mental Health
192	Music Therapy Media Inventory System	Provides online tracking and inventory of music therapy library	Mental Health Institutions	Substance Abuse & Mental Health
193	My Account Status	Used by the DCF clients to access their own personal data. My Account Status pages application shows the status of the account, pending verification list, appointment information, detail information about the status of the benefit, and benefit history information. It enables a client to view: current benefits, the date benefits will be available, next review date, when an appointment is scheduled, benefit account history, a list of pending	ACCESS	Self Sufficiency

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		information, and also print a temporary Medicaid card.		
194	MyFlorida Web 211	The MyFlorida Web 211 provides a single access point on the MyFlorida.com internet website. This system lists a series of starting points, needs, and destinations for Floridians to have important questions answered.	All programs	Portal/Web Management
195	Network Send Message	Allows users to send online messages throughout Center	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support
196	Nice Analyzer	Cradle to grave reporting of a call coming into the Hotline. Shows trunk line, and each step call took including who hung up on the call (caller vs. agent). Important for tracking complaints concerning wait times etc.	Family Safety and/or Adult Services	IT Administration and Management
197	Observation/Maladaptive Behaviors Database (Unit 27)	Records/tracks observations, schedules attendance, and tracks performance reward points.	Mental Health Institutions	Substance Abuse & Mental Health
198	Ongoing Issues	Provides electronic version of Form 183 (Integrated with Form 54)	Mental Health Institutions	Substance Abuse & Mental Health
199	OrderImage	Provides a means to scan pharmacy orders into the Pharmacy application via the unit fax machines.	Mental Health Institutions	Substance Abuse & Mental Health
200	Partners Satisfaction	Hospital Partners Satisfaction Tracking	Substance Abuse & Mental Health	Clinical Care and Clinical Services Management
201	Payroll Certified Forward	This process creates D6000B80 SAMAS files and reports for the certification forward of payrolls. Certified Forward is used by the Financial Management team in our Headquarters office. ITS, has been directed to move off the UNISYS platform and migrate all applications, including Payroll Certified Forward	Administration	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		Process, into a .NET, SQL server, and crystal reports architecture.		
202	Payroll Management System	The DCF Payroll Management System (PMDS) is a salary transaction and reporting system. It is a batch system designed to create FLAIR salary transactions and reports, as well as warrant distribution reports. The source of the input data is from the Bureau of State Payrolls (FLAIR), and from the People First Personnel System (CONVERGYS). The information from People First is data of active employees, OPS and career service.	Administration	Agency Financial and Administrative Systems Support
203	PC-ACE	Medicare Billing Interface with clearinghouse.	Mental Health Institutions	Clinical Care and Clinical Services Management
204	Pharmacy System	Tracks administration and inventory of medications.	Mental Health Institutions	Substance Abuse & Mental Health
205	phoeniX	This system is the system that links the phone system to the data captured by the phone system and what is needed to be recorded for each call, fax or web received by the Florida Abuse Hotline. This system maintains and tracks every call, web or fax received.	Family Safety and/or Adult Services	Child and Adult Safety
206	Phone Directory (WEBPHONE)	Phone directory information for region staff.	Administration	Desktop Computing
207	Phone List System	Used to locate telephone/room numbers for all staff working in the Data Centre.	Administration	IT Administration and Management
208	Physicians Medicare Billing	Tracks Physicians Medicare Billings.	Mental Health Institutions	Clinical Care and Clinical Services Management
209	Pinboard	Tracks Office Staff work location.	Mental Health Institutions	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
210	Platinum Community Partner	To assist with the application process, providing eligibility and case information about ACCESS clients to Platinum Community Partners. That information includes: Individual demographic information, living address, list of recently received information, list of items needed to process the case, date of the next scheduled appointment, cash, Food Stamps and Medical eligibility status, and Personal Identification number(PIN).	ACCESS	Self Sufficiency
211	Private Adoption Image Management System	Provides adoption staff with the ability to electronically store, index, and retrieve documents related to private agency adoptions finalized in the state of Florida.	Family Safety	Child and Adult Safety
212	Provider View	This system was designed to provide Medicaid eligibility information to Healthcare Providers who are registered with AHCA.	ACCESS	Self Sufficiency
213	Psychiatric Progress Note	Provides electronic version of Form 220	Mental Health Institutions	Substance Abuse & Mental Health
214	Psychology Progress Note	Provides electronic version of Form 624	Mental Health Institutions	Substance Abuse & Mental Health
215	Psychotropic Drug Refusals	Tracks resident medication refusals.	Mental Health Institutions	Substance Abuse & Mental Health
216	Psychotropic Medication Compliance	Tracks audits of medication compliance	Mental Health Institutions	Substance Abuse & Mental Health
217	QS1 (Pharmacy)	Pharmaceutical software	Mental Health Institutions	Substance Abuse & Mental Health
218	Quality Management System (QMS)	Quality Management System (QMS) system used to track Tier 1 case reviews and Tier 2 validations.	ACCESS	Self Sufficiency
219	Record Storage	Tracks stored case file information from	Family Safety and/or Adult	Child and Adult Safety

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	Information System (RSIS)	Child and Adult abuse investigations, Agency for Persons with Disabilities, Death Review, Foster Care/Protective Services, Adoption, and Foster Care Licensing.	Services	
220	Recovery Plan Meeting Minutes	Provides electronic version of Form 147	Mental Health Institutions	Substance Abuse & Mental Health
221	Recovery Plan Scheduling	Schedules Recovery Plan Team Reviews.	Mental Health Institutions	Substance Abuse & Mental Health
222	Recovery Referral Services	Electronic referral to help speed up referral services to residents.	Mental Health Institutions	Substance Abuse & Mental Health
223	Red Flag Log	Used to track Child Protective Investigator staffings and assignments for high profile cases (Suncoast Region).	Family Safety	Child and Adult Safety
224	Refugee Services Database System	Records summarized service units submitted by contracted providers to support reporting to funding sources, deliverables, invoices and monitoring.	Refugee	Emergency Transition
225	Refugee Services Database System (RSDS)	To record summarized service units submitted by contracted providers to support reporting to funding sources, deliverables, invoicing and monitoring.	Refugee	Emergency Transition
226	Rehabilitation Therapy Interest & Skills Assessment	Provides electronic version of Form 21	Mental Health Institutions	Substance Abuse & Mental Health
227	Remote Data Capture - Case Management		Family Safety	Child and Adult Safety
228	Report Change System	Online system for customers to report changes in household circumstances such as changes in address, employment, household composition or utility expenses.	ACCESS	Self Sufficiency
229	Reports Database	Provides end-user reports	Mental Health Institutions	Clinical Care and Clinical Services Management
230	Resident Admission	Track Client Admissions	Mental Health Institutions	Substance Abuse & Mental

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				Health
231	Resident Banking	Tracking of client funds	Mental Health Institutions	Substance Abuse & Mental Health
232	Resident Charges	Records, tracks and displays resident charges.	Mental Health Institutions	Clinical Care and Clinical Services Management
233	Resident Chart Audits	Records/reports on chart deficiencies	Mental Health Institutions	Substance Abuse & Mental Health
234	Resident Clothing	Tracking clothing issued to clients	Mental Health Institutions	Substance Abuse & Mental Health
235	Resident Competency Assessments	Tracks resident competency assessment	Mental Health Institutions	Substance Abuse & Mental Health
236	Resident Complaint Tracking	Tracks resident complaints.	Mental Health Institutions	Substance Abuse & Mental Health
237	Resident Customer Satisfaction	Track and report client satisfaction	Mental Health Institutions	Substance Abuse & Mental Health
238	Resident Daily Census	Tracks client population	Mental Health Institutions	Substance Abuse & Mental Health
239	Resident Desk Files	Displays Resident-specific information.	Mental Health Institutions	Substance Abuse & Mental Health
240	Resident Dietary	Records/reports resident diets	Mental Health Institutions	Substance Abuse & Mental Health
241	Resident Discharge	Tracks client discharge	Mental Health Institutions	Substance Abuse & Mental Health
242	Resident DISCUS Tracking	Tracks Discus performance	Mental Health Institutions	Substance Abuse & Mental Health
243	Resident Incident Tracking	Tracks and reports client incidents	Mental Health Institutions	Substance Abuse & Mental Health
244	Resident Individual Habilitation System	Tracks and reports client Habilitation plan and schedule	Mental Health Institutions	Substance Abuse & Mental Health
245	Resident Infection Control	Tracks and reports client disease and inoculations	Mental Health Institutions	Substance Abuse & Mental Health
246	Resident Information System	Record/report resident demographics, census, admissions & discharges	Mental Health Institutions	Substance Abuse & Mental Health
247	Resident Laboratory Specimens	Record/report on resident lab work	Mental Health Institutions	Substance Abuse & Mental Health
248	Resident Leave Tracking	Tracks client Leave	Mental Health Institutions	Substance Abuse & Mental

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
				Health
249	Resident Legal Competency	Tracks Client Legal Competency status	Mental Health Institutions	Substance Abuse & Mental Health
250	Resident Legal Status	Tracks Client Legal Status and Charges	Mental Health Institutions	Substance Abuse & Mental Health
251	Resident Living Area Assignment	Tracks bed utilization	Mental Health Institutions	Substance Abuse & Mental Health
252	Resident Medical Appointments	Schedules and Tracks Client Medical Appointments	Mental Health Institutions	Substance Abuse & Mental Health
253	Resident Medication Court Hearings	Records/schedules resident court hearings	Mental Health Institutions	Substance Abuse & Mental Health
254	Resident Medication Occurrence	Tracks Medication Occurrence errors	Mental Health Institutions	Substance Abuse & Mental Health
255	Resident Payer Tracking	Tracks money received for client from outside sources	Mental Health Institutions	Clinical Care and Clinical Services Management
256	Resident Personal Safety Plan	Provides electronic version of Form 325.	Mental Health Institutions	Substance Abuse & Mental Health
257	Resident Physical Information	Tracks resident physical data.	Mental Health Institutions	Substance Abuse & Mental Health
258	Resident Pre-Admission	Tracks pre-admissions to facility	Mental Health Institutions	Substance Abuse & Mental Health
259	Resident Pre-Discharge	Tracks and reports clients in discharge status	Mental Health Institutions	Substance Abuse & Mental Health
260	Resident Private Insurance Tracking	Tracks clients with private insurance	Mental Health Institutions	Clinical Care and Clinical Services Management
261	Resident Readiness Assessment	Provides electronic version of Form 208.	Mental Health Institutions	Substance Abuse & Mental Health
262	Resident Records Requests	Records/report clinical records requests/receipts	Mental Health Institutions	Substance Abuse & Mental Health
263	Resident Relationship Tracking	Tracks, reports and notification of individuals responsible for care of client	Mental Health Institutions	Substance Abuse & Mental Health
264	Resident Responsible Staff	Tracks and reports staff member responsible for client	Mental Health Institutions	Substance Abuse & Mental Health
265	Resident Seclusion and Restraint Tracking	Records/report resident seclusion/restraint hours	Mental Health Institutions	Substance Abuse & Mental Health
266	Resident Services	Tracks resident attendance in services	Mental Health Institutions	Substance Abuse & Mental

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	Attendance Tracker	provided.		Health
267	Resident Training Tracking	Tracks resident training.	Mental Health Institutions	Clinical Care and Clinical Services Management
268	Resident Treatment Participation	Record/report resident participation in treatment activities	Mental Health Institutions	Substance Abuse & Mental Health
269	Resident Trust Banking System	Records resident monies, withdrawals and deposits.	Mental Health Institutions	Clinical Care and Clinical Services Management
270	Risk Management Incident Tracking System	Records and tracks resident incidents.	Mental Health Institutions	Clinical Care and Clinical Services Management
271	RxAssist	Records/tracks Pharmacy interventions.	Mental Health Institutions	Substance Abuse & Mental Health
272	Salary Budget	The Salaries Budgeting system was written to provide timely, up to date, and accurate payroll information necessary to make fiscal salary spending decisions. The program is written to be flexible allowing the manager to input Adjustments for forecasting w	Administration	Agency Financial and Administrative Systems Support
273	Schick Dental X-Ray System	Digital Dental X-Ray system	Mental Health Institutions	Substance Abuse & Mental Health
274	Seclusion/Restraint Tracking System	Tracks resident seclusion/restraint.	Mental Health Institutions	Substance Abuse & Mental Health
275	Security and Incident Reporting	Record/report incident and security reports	Mental Health Institutions	Substance Abuse & Mental Health
276	Security Awareness Training		Administration	IT Security/Risk Mitigation
277	Security Awareness Training Tracking		Administration	IT Security/Risk Mitigation
278	Security Random Inspection System	Randomly generates list for Security searches.	Mental Health Institutions	Agency Financial and Administrative Systems Support
279	Security Searches	Tracks/schedules employee searches	Mental Health Institutions	Agency Financial and Administrative Systems Support

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
280	Service Provider Progress Note	Provides electronic version of Form 253	Mental Health Institutions	Substance Abuse & Mental Health
281	ServiceCenter (third party software)	ServiceCenter is an infrastructure software package with many interrelated modules. Call Management can initiate incident tickets for operational resolution (Incident Management) and create change requests for software or hardware changes. The other mod	Information Technology Services	IT Administration and Management
282	Sexually Violent Predator Program (SVPP) Database	This is an Access database for clients served in Sexually Violent Predator Program (SVPP). It is used daily as an assessment tool to evaluate the status and provide treatment for clients referred to DCF for eligibility determination. The database is used for reporting the socio-demographic and clinical profile of clients served, including beginning and ending censuses, admissions and discharges, length of stay, and for producing data related to Dashboard performance measures.	Mental Health	Substance Abuse & Mental Health
283	SkillNet	Skillnet provides and tracks the training and testing for employees of the department, sheriffs and private providers providing case management services to children and families served by the Family Safety program.	Family Safety	Child and Adult Safety
284	Smartserver (E-forms, Inc)	Enables voucher printing from FLAIR.	Mental Health Institutions	Agency Financial and Administrative Systems Support
285	Social Security Benefits Status Tracking	Tracks Social Security receipts and spending.	Mental Health Institutions	Clinical Care and Clinical Services Management
286	Social Services Progress	Provides electronic version of Form 621	Mental Health Institutions	

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	Note			
287	Social Services Tracking System	Tracks Resident Discharge Planning and Competency data.	Mental Health Institutions	Substance Abuse & Mental Health
288	Spector	Monitors computer/internet use	Information Technology Services	IT Security/Risk Mitigation
289	Spending Plan	This is an ASP.NET application located on the DCF intranet which allows the Budget Office to see current budget numbers in order to identify possible problems. They also use it to forecast spending and budgets into the future to watch for any potential concerns.	Administration	Agency Financial and Administrative Systems Support
290	Staff Data Base/Login Control	Tracks employees and distributes information about employees to other databases as required	Mental Health Institutions	Agency Financial and Administrative Systems Support
291	Staff Development and Training	Track staff training requirements	Mental Health Institutions	Agency Financial and Administrative Systems Support
292	Staff Infection Control	Tracks and reports staff disease and inoculations	Mental Health Institutions	Substance Abuse & Mental Health
293	Statewide Asset Dataloader System (Dataloader)	Assists in the transfer of information between databases using the SATS system	Information Technology Services	IT Administration and Management
294	Statewide Asset Tracking System (SATS)	Tracks Information Technology and General Services equipment information	Information Technology Services	IT Administration and Management
295	Strategic Plan Survey System	This application will be utilized as an automated method for the public to provide comments/recommendations to the Department's Mission and Strategic Plans' goals and objectives.	Administration	Agency Financial and Administrative Systems Support
296	Substance Abuse and Mental Health (SAMH) Provider Database	Used to track SAMH provider's license components.	Substance Abuse & Mental Health	Substance Abuse & Mental Health
297	Substance Abuse Licensure Information System (SALIS)	Used to conduct licensing inspections and report results and to reduce variability in the licensing process, as	Substance Abuse	Substance Abuse & Mental Health

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		well as track collection of licensing fees.		
298	Substance Abuse Mental Health (SAMH)	Captures and reports provider, demographic, admission, assessment, discharge and service delivery data from Substance Abuse and Mental Health contracted service providers, mental health institutions, and contracted and/or state-owned treatment facilities.	Substance Abuse and Mental Health	Substance Abuse & Mental Health
299	Substance Abuse Mental Health Waitlist	Provides a statewide database of clients waiting for services. This is a sub-component of SAMH system.	Substance Abuse and Mental Health	Substance Abuse & Mental Health
300	Substance Abuse Services Progress Note	Provides electronic version of Form 86	Mental Health Institutions	Substance Abuse & Mental Health
301	Substance Abuse/Use Screen	Provides electronic version of Form 83	Mental Health Institutions	Substance Abuse & Mental Health
302	Supplemental Payment System (SPS)	Authorizes payments for the Optional State Supplementation and the Personal Needs Allowance supplement.	ACCESS	Self Sufficiency
303	Supply Inventory Management System	Manages information on supplies and medication in DCF-s warehouse and pharmacies. (Old POIS System has been converted to Statewide SPURS System.) Also is shared by the Agency for Persons with Disabilities.	Administration	Agency Financial and Administrative Systems Support
304	Sure Quest Three Squares	Food Services recipe and menu software	Mental Health Institutions	Substance Abuse & Mental Health
305	System Access Tracking System	Tracks requests for user access and permissions.	Mental Health Institutions	IT Administration and Management
306	System Monitor	Allows IT personnel to track system usage, email traffic, and application errors	Information Technology Services	IT Administration and Management
307	Tanf.mdb	TANF fiscal tables	Substance Abuse & Mental Health	Substance Abuse & Mental Health

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
308	Tanf_be.mdb	TANF fiscal tables	Substance Abuse & Mental Health	Substance Abuse & Mental Health
309	Technical Blog	Provides solutions to common computer problems	Information Technology Services	Desktop Computing
310	Telecommunications Service Request Tracking System	Provides an online means to submit and track Telco work orders.	Mental Health Institutions	Agency Financial and Administrative Systems Support
311	Telecommuting Request	Provides for tracking of initiation and completion of requests for telecommuting staff.	ACCESS	Self Sufficiency
312	Telephone Database	Tracks telephone number information.	Mental Health Institutions	Agency Financial and Administrative Systems Support
313	Telephonic ARU	The Telephonic Automated Response Unit(ARU)is part of the ESS modernization initiative to improve service delivery and to allow ESS to function effectively and efficiently. The ARU is available to customers 24 hours per day; 7 days per week. Customers are able to receive information about their benefits, scheduled appointments and required pending information. They are also able to check the status of a reported change, request a review packet and receive information about Medicaid and legal services. Customers are also given the option to speak to customer service representatives located at one of three call centers. Call centers are located in Jacksonville, Tampa and Miami. Calls are routed based on the customer's phone number.	ACCESS	Self Sufficiency
314	Ticket Tracking System	Allows IT personnel to document actions taken to resolve system support	Information Technology Services	IT Administration and Management

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		issues.		
315	Track-It Computer Inventory & Help Desk	Tracks computer inventory and help desk	Mental Health Institutions	IT Administration and Management
316	Training Management System	Tracks employee training.	Mental Health Institutions	Agency Financial and Administrative Systems Support
317	Training Tracking	TTS is a Visual FoxPro 8.0 program written for DCF to capture employee, session, vendor, and skill information related to training. The system generates notification to an employee that he/she has been registered in a class, and produces reminder notices and related information.	Administration	Agency Financial and Administrative Systems Support
318	Transition/Transfer Plan	Provides electronic version of Form 56	Mental Health Institutions	
319	Transportation Log	Provides a scheduling tool for Transportation.	Mental Health Institutions	Agency Financial and Administrative Systems Support
320	Tuberculosis Tracking	Tracks resident TB/screening data.	Mental Health Institutions	Substance Abuse & Mental Health
321	Ultra	Provides software-based analytical data for maximization of Hotline workforce performance	Family Safety and/or Adult Services	
322	Unit 31 Clinics Scheduling	Scheduling tool for Unit 31 inpatient and outpatient clinics.	Mental Health Institutions	Substance Abuse & Mental Health
323	Unscheduled Absence Tracking System	Tracks Employee Unscheduled Absences.	Mental Health Institutions	Agency Financial and Administrative Systems Support
324	User Accounting	Reports on the Comptroller's account balances, reports on discrepancies between the department's balances and the Comptroller's accounts, transfers funds between accounts in FLAIR for DCF.	Administration	Agency Financial and Administrative Systems Support
325	User Accounting Certified Forward	The User Accounting Certified Forward Process has been rewritten using Micro	Administration	Agency Financial and Administrative Systems

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		Focus COBOL in a SQL Server environment which utilizes technologies such as COBOL, XGEN, EOM, and the data is stored in a flat file structure.		Support
326	Vehicle Gas/Mileage	Tracks vehicle and gas use	Mental Health Institutions	Agency Financial and Administrative Systems Support
327	Veramark Call Accounting	Collects call detail information in order to analyze and report on telecommunications activity	Mental Health Institutions	Agency Financial and Administrative Systems Support
328	Wallboard	Enables real-time display of performance data and instant messages directly to workstations of Hotline staff.	Family Safety and/or Adult Services	Child and Adult Safety
329	Warehouse Records Storage	Tracks use of warehouse and records storage	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support
330	Web Automated Response Unit	The Web Automated Response Unit (ARU) is part of the ESS modernization initiative to improve service delivery and to allow ESS to function effectively and efficiently. The Web ARU is available to customers 24 hours per day; 7 days per week. Customers are able to check the status of a reported change and request a review packet.	ACCESS	Self Sufficiency
331	Web Enabled Document Library	This application has been developed to allow DCF Lotus Notes user to create documents via Lotus Notes or the WEB interface. Documents are like library books and can contain attachments for sharing Statewide without the need for extensive Network Administration.	Administration	Agency Financial and Administrative Systems Support
332	Weight/BMI	Provides a means to track resident	Mental Health Institutions	Substance Abuse & Mental

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	Tracking/Reporting	weight/BMI.		Health
333	Work In Progress	This is a system written for the Windows environment that is used to enter time information for projects, enter project and task information, and run reports based on the above-mentioned data. It also maintains user code / charge code validation and feeds the Cost Allocation System to distribute costs to the correct OCAs.	Information Technology Services	IT Administration and Management
334	Work Order Tracking	Tracks facility work order requests.	Substance Abuse & Mental Health	Agency Financial and Administrative Systems Support
335	X-Ray Tracking System	Tracks/records X-Rays.	Mental Health Institutions	Substance Abuse & Mental Health
336	Zone IT Contact List - Blackberry	Provides a mechanism for "pushing" a list of names with phone and email information for Zone IT staff to specified Blackberry devices, in this case DCF and IS management. Includes an administration view to manage list recipients, list members, and automate the push.	Administration	Agency Financial and Administrative Systems Support

(Insert as many rows into table as needed.)

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Dept/Agency: **Department of Children and Families**
Prepared by: **Lori Schultz**
Phone: **487-8902**
Date Completed: **10-9-2010**

1. Child and Adult Safety Service

Supports the department's need to record reports of child and adult abuse or neglect, record information gathered during the investigation, track services delivered by community-based care and law enforcement agencies and DCF counselors, provide payment to foster families; provide database and search capability to assist in finding permanent homes for children waiting to be adopted, and generate management reports. This service supports child welfare, adult services, and abuse hotline programs administered by the department.

The following statewide IT Systems are constituent elements of this Strategic IT Service:

- 1.a. ***Abuse Hotline Web Reporting Tool*** – provides the general public a way to report adult and child abuse and neglect to the Florida Abuse Hotline via the Internet.
- 1.b. ***Adoption Exchange System (AES)*** – provides a statewide data base of children receiving adoption services, and families seeking to adopt special needs children. The system enables adoption counselors and home finders statewide to seek matches on certain traits between prospective families and children, and also provides a source for measurement of some adoption performance and outcome indicators.
- 1.c. ***Adoption Reunion Registry*** – gives adult adoptees a chance to be reunited with their birth families without taking court action to have their adoption records unsealed. Adopted adults and members of the birth family sign up with the registry. A staff person verifies the adoption and completes a search to find a match to anyone else in the system. If a consent form is on file, staff release information about the adoption after verifying the requester's identity and relationship to the adopted adult.
- 1.d. ***Adult Services Information System (ASIS)*** – provides a statewide database of clients waiting for services, medwaiver log/tracking component for identifying and approving clients to receive Medicaid waiver services, and case management component.

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- 1.e. **Caretaker Screening Information System (CSIS)** - tracks the results of background screening required for individuals serving as caretakers for the children and families served by the department's programs.
 - 1.f. **Children Not Seen System** – provides an opportunity for headquarters operations staff to monitor and communicate with regions about the status of required face-to-face visits with children under department supervision. In addition, the system is used as a tool at the Region and Community Based Care (CBC) provider level to monitor and address visitation. The system is populated daily (M-F) with data from the Florida Safe Families Network (FSFN) about children for who required face to face visits have not been completed.
 - 1.g. **Child Welfare Legal System** - tracks courts hearings, document filing, court deadlines, court order drafting and submission, scheduled depositions, case planning conferences, and CWLS legal case file locations. Provides attorneys with a tool to prepare for court hearings at which judges will make a decision affecting the safety and well being of children.
 - 1.h. **Child Welfare Resource Record** – consolidation of forms and documents, automates entry of common information throughout the various forms used by child welfare staff.
 - 1.i. **Enterprise Client Index – VS Deaths** – provides search and view of Department of Health Vital Statistics death records.
 - 1.j. **Enterprise Client Index – Vital Statistics** – provides Family Safety and Hotline staff access to confidential birth records from the Department of Health to verify identities and perform diligent searches. Includes HIPAA compliant audit trail.
 - 1.k. **Explore Adoption Newsletter Subscription Request** – an internet website to assist with increasing awareness on adoption in Florida with functionality to subscribe to a monthly newsletter.
 - 1.l. **Family Safety Bulletin Tracker** – a mechanism to track and provide training credit for Family Safety staff that access and review the monthly Family Safety Monthly Newsletter.
 - 1.m. **Florida Safe Families Network (FSFN)** – statewide automated child welfare information system. Incorporates reporting and tracking of

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alleged child and adult abuse or neglect, child and adult safety assessment tools, and case management functions.

- 1.n. **Integrated Child Welfare Services Information System (ICWSIS)** – *tracks out of home placements, payments, and services provided (supported by Suncoast Region).*
- 1.o. **Interstate Compact System** - *maintains and tracks the interstate placements made by the State of Florida for other states and the requests for placements made by the State of Florida to other states. Maintains information on cases sent to and from Florida, every agency with which the Interstate Compact on the Placement of Children (ICPC) office interacts, each home study requested and completed, correspondence and various other information pertaining to these cases.*
- 1.p. **Missing Children Tracking System (MCTS)** - *tracks children that have been reported missing and transmits the incident to FDLE.*
- 1.q. **phoeniX** - *used to document all calls to the Hotline. Application provides screen pop information and also provides the functionality that is mandated for the Crime Intelligent Unit at the Hotline.*
- 1.r. **Private Adoption Image Management System** – *provides adoption staff with the ability to electronically store, index, and retrieve documents related to private agency adoptions finalized in the state of Florida.*

The following region IT Systems are constituent elements of this Strategic IT Service:

- 1.s. **Caretaker** – *Used to retrieve historical caretaker screening results (Suncoast Region).*
- 1.t. **Record Storage Information System** – *tracks stored case file information from child and adult abuse/neglect investigations, Agency for Persons with Disabilities, death review, foster care/protective services, adoption, and foster care licensing (Suncoast Region).*
- 1.u. **Red Flag Log** - *used to track Child Protective Investigator staffings and assignments for high profile cases (Suncoast Region).*

2. Self Sufficiency Service

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Supports the department's efforts to assist individuals and families become self-sufficient through needs-based public assistance programs (Temporary Assistance for Needy Families, Medicaid, refugee assistance, and food stamps) that provide benefits to children and families, and aged, blind or disabled adults. This service also supports child support case management, payment collection and payment distribution activities for the Department of Revenue (DOR/CSE), provides Medicaid eligibility information to the Agency for Health Care Administration (AHCA) for provider payment processing, and provides the primary vehicle for the exchange of data between a variety of state and federal agencies. This service also provides data and database capabilities for monitoring and reporting.

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

- 2.a. **ACCESS Document Imaging** - allow users to scan documents, create thumbnails, and store the records and user demographics for later retrieval. System includes a web-enabled viewing application for retrieving documents for on-line viewing.
- 2.b. **ACCESS Florida web application** - an intranet/internet application that allows recipients and applicants to complete an electronic application for Food Stamps, Cash Assistance, Medicaid and Nursing home and Medicaid Coverage.
- 2.c. **ACCESS Florida Prescreening Tool** - quick and easy way for customers to find out if their household might be able to get: help buying food, cash assistance, low or no cost health care, or help paying Medicare premiums.
- 2.d. **ACCESS Kidcare** - intranet application for processing KidCare Applications. Florida's KidCare program provides children with medical coverage and the Department's role is to determine if these children are eligible for Medicaid coverage. Receives records from Florida Healthy Kids, the group that determines eligibility for the KidCare program, and then notifies them of the disposition of each application.
- 2.e. **ACCESS Management System (AMS)** – web enabled application for the ESS worker. Provides worker a Browser based presentation of the client entered data, and matching data from FLORIDA. Allows the worker to modify data entered in ACCESS by the client. Worker is able to initiate the transfer of the CR data into FLORIDA.

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- 2.f. **Florida On-line Recipient Integrated Data Access System (FLORIDA)** – provides operational support for Public Assistance eligibility determination and Child Support Enforcement processing. It serves the working poor, children, and elderly or disabled citizens of the state who are eligible for public assistance, medical assistance and child support enforcement services.
- 2.g. **Food for Florida (FFF)** –provides food stamps benefits to Florida’s residents who have experienced a natural disaster whenever the emergency food stamp program is authorized following a disaster.
- 2.h. **Intake Management System** – used to track applications from the point they are submitted by a client until they are authorized or denied.
- 2.i. **Integrated Benefit Recovery System** - facilitates and aids in the recovery of over-issuance of public assistance benefits.
- 2.j. **My Account Status** – used by the DCF clients to access their own personal data. My Account Status pages application shows the status of the account, pending verification list, appointment information, detail information about the status of the benefit, and benefit history information. It enables a client to view: current benefits, the date benefits will be available, next review date, when an appointment is scheduled, benefit account history, a list of pending information, and also print a temporary Medicaid card.
- 2.k. **Platinum Community Partner** - to assist with the application process, providing eligibility and case information about ACCESS clients to Platinum Community Partners. That information includes: Individual demographic information, living address, list of recently received information, list of items needed to process the case, date of the next scheduled appointment, cash, Food Stamps and Medical eligibility status, and Personal Identification number(PIN).
- 2.l. **Report Change System** – online system for customers to report changes in household circumstances such as changes in address, employment, household composition or utility expenses.
- 2.m. **Supplemental Payment System (SPS)** – authorizes payments for the Optional State Supplementation and the Personal Needs Allowance supplement.

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- 2.n. *Web Automated Response Unit (WebARU)* - provides information about changes submitted, how to request a recertification packet, and when to call the toll-free number instead of using the web**

The following region/central office IT Systems are constituent elements of this Strategic IT Service:

- 2.o. *IMS Plus*** – assists in the assigning of cases to available case workers. Produces required documents (Suncoast Region).

3. Substance Abuse and Mental Health Service

This service supports the delivery of medical and behavioral health services to individuals with mental health or substance abuse problems in the community as well as in state mental health treatment facilities. This service also supports the daily operation of the department's mental health treatment facilities as well as the monitoring and reporting of services and service outcomes pertaining to clients served in state-contracted community substance abuse and mental health provider agencies.

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

- 3.a. *Forensic Waiting List*** - database for tracking and reporting individuals on waiting lists for admissions into state-operated mental health treatment facilities. It is used daily by Central Program Office staff for collecting, analyzing and producing various management reports, including length of stay, waiting list, and Dashboard performance measures (supported by SAMH Program).
- 3.b. *Juvenile Incompetent to Proceed (JITP)*** - database for clients served in the JITP facility. It is used daily by the Children Mental Health Program staff as an assessment tool to collect, analyze and report data pertaining to socio-demographic characteristics, eligibility determination and enrollment of clients served in the JITP facility. It produces various management reports, including length of stay, waiting list, and Dashboard performance measures (supported by SAMH Program).
- 3.c. *Sexually Violent Predator Program (SVPP) Database*** - database for clients served in Sexually Violent Predator Program (SVPP). It is used daily as an assessment tool to evaluate the status and provide treatment for clients referred to DCF for eligibility determination. The database is used for reporting the socio-demographic and clinical profile of clients served, including beginning and ending censuses, admissions

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and discharges, length of stay, and for producing data related to Dashboard performance measures (supported by SAMH Program).

- 3.d. Substance Abuse Licensure Information System (SALIS) -** *contains information on licensing in a centralized database that can be used to monitor and evaluate the overall effectiveness of the licensing process. Used to conduct licensing inspections and report results and to reduce variability in the licensing process, as well as track collection of licensing fees.*

- 3.e. Substance Abuse Mental Health (SAMH) –** *captures and reports provider, demographic, admission, assessment, discharge and service delivery data from Substance Abuse and Mental Health contracted service providers, mental health institutions, and contracted and/or state-owned treatment facilities.*

- 3.f. Substance Abuse Mental Health Waitlist –** *provides a statewide database of clients waiting for services. This is a sub-component of SAMH system.*

The following region/institution IT Systems are constituent elements of this Strategic IT Service:

- 3.g. Refer to Attachment 1** *which provides a list/description of the strategic systems maintained by the department's three mental health institutions.*

4. (External) Agency for Persons with Disabilities Service

Provides for the delivery of therapeutic and case management services to individuals with certain disabilities.

DCF Information Technology Services no longer provides strategic services for the operation of the Allocation, Budget and Contract Control (ABC) System. APD is responsible for programming for this system and the hosting of this system is now the responsibility of the Northwood Shared Resource Center.

5. (External) Department of Health Service (discontinued)

This service is being discontinued. The department is submitting a budget issue to transfer the existing contract and associated funding for DOH support to DOH effective FY 2011-12.

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6. Emergency Transition Services

Provides for the delivery of services to individuals in need of emergency services due to relocation to the United States as refugees, asylees, Cuban/Haitian entrants and victims of human trafficking, individuals in need of emergency housing assistance, or victims of domestic violence. Includes the provision of financial assistance through the Emergency Financial Assistance for Housing Program as well as the monitoring and reporting of services (both needed and provided) delivered by contracted service providers, and the provision of information related to available resources.

The following statewide IT Systems are constituent elements of this Strategic IT Service:

- 6.a. **Domestic Violence Batterer Intervention Program Lookup** – a resource tool available on the internet to provide the public with information and search capability on batterer prevention programs statewide.
- 6.b. **Emergency Financial Assistance for Housing Program (EFAHP)** – provides a one-time payment of up to \$400 to families who are totally without shelter or face the loss of shelter because of non-payment of rent or mortgage. It also helps those families who have had household disasters such as fire, flood, or other accidents.
- 6.c. **Refugee Services Database System** – records summarized service units submitted by contracted providers to support reporting to funding sources, deliverables, invoices and monitoring.

7. Child Care Services

Supports the Department's activities associated with the regulation of licensed child care facilities, licensed family day care homes, licensed large family child care homes, and licensed mildly ill facilities in 60 of the 67 counties in Florida, and administration of the registration of family day care homes not required to be licensed.

The following statewide IT Systems are constituent elements of this Strategic IT Service:

- 7.a. **Child Care Information Systems (CCIS)** – a web and client based information system used to manage child care licensing. The public portal is a comprehensive web based resource for parents interested in locating quality child care arrangements and for individuals working

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within the child care arena. The private portal is a comprehensive web based resource for child care licensing staff and contractors to conduct and manage licensing inspections and administer child care training course, issue credentials based on child care training and report on all data captured within the system.

Attachment 1: Strategic Systems Maintained by the Department's Institutions

Institution	System	Description
FSH	Abnormal Involuntary Movement Scale	Tracks resident Tardive data.
FSH	Baker Act Court Reporting	Tracks court information on Baker Act residents.
FSH	Behavior Tracking	Tracks/records resident behaviors.
FSH	Canteen Point-of-Sale System	Tracks resident canteen inventory and sales.
FSH	Commission on the Accreditation of Rehabilitation Facilities (CARF) Question and Answer Forum	Provides an online means to submit CARF questions to CARF coordinator.
FSH	Case Manager Tracking	Tracks residents' case managers.
FSH	Census/Demographic Tracking	Records resident demographics and tracks admissions, discharges and transfers.
FSH	Chart Review	Provides a comprehensive overview of resident clinical data.
FSH	Clinical Scorecard	Displays/reports medication usage.
FSH	Computrition Food Management/Nutritional Assessment	Tracks and records resident diet information and provides recipe/menu management.
FSH	Court Report Scheduler	Schedules resident Competency evaluations.
FSH	Court Reports Tracking System	Tracks resident competency evaluations.
FSH	Critical Incident Reporting	Tracks/records resident critical incidents.
FSH	Diagnosis Tracking	Tracks resident diagnosis.
FSH	Emergency Treatment Order Tracking	Tracks emergency treatment orders.
FSH	E-Plans	Electronic resident recovery plan.
FSH	Forensic Staff Reporting (Direct Care)	Records forensic services direct care staffing per shift.
FSH	FSH Intranet Web site	Portal to staff and resident data.
FSH	Functional Assessment Rating System	Tracks residents' functional assessment ratings.
FSH	Functional Disabilities Tracking	Tracks resident functional disabilities.
FSH	Guardian/Representative Info	Tracks resident guardian information.
FSH	Horitherapy Point-of-Sale	Tracks horitherapy inventory and sales.

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Institution	System	Description
FSH	Laboratory System	Tracks lab requests and results.
FSH	Living Environment Alternative Preferences (LEAP) Tracking	Displays virtual tours of discharge facilities.
FSH	Maladaptive Behaviors	Tracks/records resident maladaptive behaviors.
FSH	Medical Clinics/Registries (15)	Tracks medical clinics and registries data.
FSH	Medical Service Director Review	Allows monitoring of physicians' caseloads.
FSH	Medical Unit Admissions/Transfers	Tracks medical unit admissions/transfers.
FSH	Medication Consent Tracking	Tracks all resident medication consents.
FSH	Minor Property	Tracks property under \$1000.
FSH	Monthly Nursing Progress Notes	Provides electronic version of Form 78.
FSH	Music Therapy Media Inventory System	Provides online tracking and inventory of music therapy library
FSH	Observation/Maladaptive Behaviors Database (Unit 27)	Records/tracks observations, schedules attendance, and tracks performance reward points.
FSH	OrderImage	Provides a means to scan pharmacy orders into the pharmacy application via the unit fax machines.
FSH	Pharmacy System	Tracks administration and inventory of medications.
FSH	Psychotropic Drug Refusals	Tracks resident medication refusals.
FSH	Recovery Plan Scheduling	Schedules recovery plan team reviews.
FSH	Recovery Referral Services	Electronic referral to help speed up referral services to residents.
FSH	Resident Desk Files	Displays resident-specific information.
FSH	Resident Personal Safety Plan	Provides electronic version of Form 325.
FSH	Resident Physical Information	Tracks resident physical data.
FSH	Resident Readiness Assessment	Provides electronic version of Form 208.
FSH	Resident Services Attendance Tracker	Tracks resident attendance in services provided.
FSH	RxAssist	Records/tracks pharmacy interventions.
FSH	Seclusion/Restraint Tracking System	Tracks resident seclusion/restraint.
FSH	Social Services Tracking System	Tracks resident discharge planning and competency data.
FSH	Statewide Dental Services	Tracks resident dental procedures.
FSH	Training Management System	Tracks employee training.
FSH	Tuberculosis Tracking	Tracks resident TB/screening data.
FSH	Unit 31 Clinics Scheduling	Scheduling tool for Unit 31 inpatient and

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

Institution	System	Description
		outpatient clinics.
FSH	Weight/BMI Tracking/Reporting	Provides a means to track resident weight/BMI.
FSH	X-Ray Tracking System	Tracks/records x-rays.
NEFSH	Code Search	Assist in defining proper diagnosis coding
NEFSH	Community Assessment	Clinical evaluation
NEFSH	Community Provider	Community provider database
NEFSH	Diagnosis Tracking	Client diagnosis database
NEFSH	Dietary	Dietary tracking and food delivery system
NEFSH	Functional Assessment Rating System (FARS)	Clinical evaluation for improvement.
NEFSH	Kodak Digital X-Ray	Digitizer for x-ray system
NEFSH	Medics Pharmacy System	Pharmacy inventory and distribution system
NEFSH	Resident Admission	Track client admissions
NEFSH	Resident Banking	Tracking of client funds
NEFSH	Resident Clothing	Tracking clothing issued to clients
NEFSH	Resident Customer Satisfaction	Track and report client satisfaction
NEFSH	Resident Daily Census	Tracks client population
NEFSH	Resident Discharge	Tracks client discharge
NEFSH	Resident Incident Tracking	Tracks and reports client incidents
NEFSH	Resident Individual Habilitation System	Tracks and reports client habilitation plan and schedule
NEFSH	Resident Infection Control	Tracks and reports client disease and inoculations
NEFSH	Resident Leave Tracking	Tracks client leave
NEFSH	Resident Legal Competency	Tracks client legal competency status
NEFSH	Resident Legal Status	Tracks client legal status and Charges
NEFSH	Resident Living Area Assignment	Tracks bed utilization
NEFSH	Resident Medical Appointments	Schedules and tracks client medical appointments
NEFSH	Resident Medication Occurrence	Tracks medication occurrence errors
NEFSH	Resident Pre-Admission	Tracks pre-admissions to facility
NEFSH	Resident Pre-Discharge	Tracks and reports clients in discharge status
NEFSH	Resident Relationship Tracking	Tracks, reports and notification of individuals responsible for care of client

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

Institution	System	Description
NEFSH	Resident Responsible Staff	Tracks and reports staff member responsible for client
NEFSH	Resident Seclusion/Restraints Tracking	Tracks and reports the use of Seclusion and Restraints
NEFSH	Schick Dental X-Ray System	Digital dentals x-ray system
NEFSH	Staff Infection Control Staff	Tracks and reports staff disease and inoculations
NEFSH	X-Ray Tracking	Storage of completed x-ray reports
NFETC	Admissions Processing	Tracks admission processing compliance
NFETC	Inventory - Food	Center food inventory tracking
NFETC	Inventory - Medication/Drug Room	Center medications inventory tracking
NFETC	Inventory - Pills (Drugs)	Pills inventory tracking
NFETC	MedCart	Medication management software
NFETC	Medical & Dental Appointments	Tracks resident appoints (internal and external)
NFETC	Plan - Electronic Health Record	Implement electronic record software
NFETC	Plan - Wireless	Add wireless access
NFETC	Psychological Testing	Records/reports MMPI test results
NFETC	Psychotropic Medication Compliance	Tracks audits of medication compliance
NFETC	QS1 (Pharmacy)	Pharmaceutical software
NFETC	Resident Chart Audits	Records/reports on chart deficiencies
NFETC	Resident Competency Assessments	Tracks resident competency assessment
NFETC	Resident Dietary	Records/reports resident diets
NFETC	Resident DISCUS Tracking	Tracks DISCUS performance
NFETC	Resident FARS Scoring	Tracks FARS scores
NFETC	Resident Information System	Record/report resident demographics, census, admissions & discharges
NFETC	Resident Laboratory Specimens	Record/report on resident lab work
NFETC	Resident Medication Court Hearings	Records/schedules resident court hearings
NFETC	Resident Records Requests	Records/report clinical records requests/receipts
NFETC	Resident Recovery/Service & Nursing Care Planning	Records/report clinical and nursing service plans
NFETC	Resident Seclusion and Restraint Tracking	Records/report resident seclusion/restraint hours
NFETC	Resident Treatment Participation	Record/report resident participation in treatment activities
NFETC	Security and Incident Reporting	Record/report incident and security reports

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C
Worksheet SC-2)

Institution	System	Description
NFETC	Smartserver (E-forms, Inc)	Enables voucher printing from FLAIR
NFETC	Sure Quest Three Squares	Food Services' recipe and menu software

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Agency Financial and Administrative Systems Support Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-10-2010**

Agency Financial and Administrative Systems Support Service

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

Identify major IT application systems that are included (in whole or part) in this IT Service:			
1	Automated Requisitions Tracking System (ARTS)	5	DCF Tracker
2	Certified Forward	6	Grants Revenue and Allocation Tracking System (GRANTS)
3	Chart 8	7	SAMAS User Accounting
4	Personnel/Payroll Management Data System (PMDS)	8	Supply Inventory Management System (SIMS)

1. IT Service Definition

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

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

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

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

1.3. Please identify the number of users of this service. **5000**

1.4. How many locations currently host agency financial/ administrative systems? **2**

2. Service Unique to Agency

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

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

- Yes
- No

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
**IT Service Requirements Worksheet: Agency Financial and Administrative Systems
Support Service**

2.2.2.

Funds must be provided and the federally approved cost allocation plan must be modified and re-approved to recoup costs. Applications would have to be available to meet all of the various business needs of the Department's administrative and support functions with the appropriate business rules in place to support unique requirements.

Services provided by NSRC would require 180 days notification prior to terminating services.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

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

General formal SLA with NSRC. System availability 24/7/365 or as needed, scheduled maintenance windows, and ongoing maintenance and enhancement to meet state and federal policy and practice requirements.

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 0700-1900

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1900-0700

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)? The duty manager is immediately notified (DCF IS SOP C-25) so that the issue is addressed and resolved

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

Department staff would be unable to perform essential administrative and financial functions such as managing the Department's budget and personnel, tracking assignments, collecting and processing reimbursements, and generating reports necessary to draw down federal funding

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

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

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

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
**IT Service Requirements Worksheet: Agency Financial and Administrative Systems
 Support Service**

Other _____

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

Yes No

3.2.5.1. If yes, please specify and describe:

State privacy and data-encryption standards and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of confidentiality of data

4. User/customer satisfaction

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

Yes No

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

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

Yes No

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

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

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

5. Additional Information

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

General revenue, trust fund, and federal funds participation (FFP). FFP requires formal federal prior approval of this agency's cost allocation plan.

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
**IT Service Requirements Worksheet: Agency Financial and Administrative Systems
Support Service**

5.3. Other pertinent information related to this service

IT Service Requirements Worksheet: Data Center Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Desktop Computing Service

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

Identify the major hardware and commercial software associated with the Desktop Computer Service:			
1	Desktop PCs/Laptops (Intel)	6	Hard Drive sanitizing Tool--Dban
2	Printers, scanners, MFDs	7	Compression--Winzip
3	Microsoft Office Suite	8	BlueZone
4	Microsoft Project	9	PDF Document Editor
5	Visio	10	Reporting Tool--Crystal Reports
5	e-Trust Antivirus	11	Encryption--McAfee

1. IT Service Definition

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

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

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

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

1.3. Please identify the number of users of this service. Approx
15000

1.4. How many locations currently use desktop computing services? Approx
1400

2. Service Unique to Agency

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

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

- Yes No

IT Service Requirements Worksheet: Desktop Computing Service

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

Service level requirements must be validated to ensure another IT service provider could install and update desktop software and trouble-shoot the desktops for all of our 15,000+ users in all locations statewide and for those private sector business partners who depend on us for their desktop service. Would require training for specific agency unique applications. Funds must be provided and the federally approved cost allocation plan must be modified and re-approved to recoup costs

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

3. IT Service Levels Required to Support Business Functions

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

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

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

There are no standard service level requirements established for this service. Warranties do not have a required response time. Tier 1, 2 support has specific response time requirements. However, PC maintenance contract has a fix or replace in 12 hours clause.

3.2. Timing and Service Delivery Requirements

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

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

If staffing is not sufficient to maintain and/or troubleshoot existing equipment for those staff responsible for handling abuse reporting and protective investigations, at-risk children and adults could die, or investigations could be overly extended due to lack of research capability and access to on-line systems. Other employees would not be able to access department applications, use email, or access web-based services such as PeopleFirst. Services to customers and patients in institutions may be disrupted if alternative PCs are not available in case of failure. If equipment does not meet minimal department standards, staff cannot access and run applications needed to perform their duties.

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

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

Must accommodate mobile workforce who are on call 24/7 for abuse hotline calls and protective investigations in the field statewide. Must accommodate institution staff who work 24/7. Must also accommodate data center staff who may work non-traditional hours and who are on call.

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

- User ID/Password Access through Internet or external network
- Access through internal network only Access through Internet with secure encryption
- Other Virus and intrusion detection and eradication; built-in spam filter; mandatory security awareness training for anyone accessing a PC.

IT Service Requirements Worksheet: Desktop Computing Service

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

Yes No

3.2.5.1. If yes, please specify and describe:

Data encryption standards and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

4. User/customer satisfaction

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

Yes No

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

Hardware and software inventory reported in the Enterprise Resource Planning & Management report annually. Hardware and software needs are reviewed annually with program offices for the budget cycle

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

Yes No

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

A dependable, recurring source of funding needs to be provided to cover equipment refresh. The Department needs to implement a 4-year desktop refresh cycle; however, funding is insufficient.

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

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

5. Additional Information

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

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

E-Mail, Messaging, and Calendaring Service

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

Identify the major hardware and commercial software associated with the E-Mail Service:			
1	Hardware provided by NSRC	5	
2	Lotus Domino Server Software	6	
3	Lotus Notes Client Software	7	
4	Commonstore for Lotus Domino (Archive e-mail) migrating to Autonomy Message Manager product.	8	

1. IT Service Definition

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

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

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

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

1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. **14,119 of which 1,618 are APD and 111 are NSRC.**

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

2. Service Unique to Agency

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

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

- Yes
- No

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

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

Service level requirements must be validated to ensure another IT service provider could provide equivalent functionality and maintain and trouble-shoot problems with the service. If the software changed, the department would have to provide re-training for all staff utilizing the service. A transition plan would have to be in place to implement the service statewide and to ensure access to historical data. Applications that have been developed using Notes functionality would have to be re-written and re-deployed, or else Notes would have to be retained. Provider would have to be able to meet on-demand requests for email searches to comply with public records requests. Funds must be provided and the federally approved cost allocation plan must be modified and reapproved to recoup costs.

Services provided by NSRC would require 180 days notification prior to terminating services.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

NSRC provides Windows Server and Managed Disk Services for DCF's email system which is also used by APD and NSRC.

3.2. Timing and Service Delivery Requirements

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

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? The duty manager is notified immediately when any system is down (DCF IS SOP C-25) so that the issue can be addressed.

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

The department staff would experience delays in their ability to share data and communicate information on-line, schedule meetings, maintain calendars, and would be unable use applications developed in Notes that impact daily workflow.

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

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

Service must accommodate mobile users and allow for secure Internet access.

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

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other Virus and intrusion detection and eradication; spam filters

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

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

Yes No

3.2.5.1. If yes, please specify and describe:

Data encryption standards, and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality.

DCF has no minimum or maximum retention period requirements for email. Retention schedules for information as defined by, and coordinated with, the Department of State is varied and is based on information content rather than medium or electronic tool.

4. User/customer satisfaction

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

Yes No

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

Data from periodic user satisfaction surveys is compiled and reported to management. Weekly and monthly service level performance reports are produced and published.

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

Yes No

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

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

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

5. Additional Information

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

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan

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

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

5.3. Other pertinent information related to this service

Email service for the Agency for Persons with Disabilities (APD) and for the Northwood Shared Resource Center (NSRC) is still integrated into DCF's email service. Out of a total of 14,119 users, 1,618 are from APD and 111 are NSRC.

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Helpdesk Service

This service involves the centralized or consolidated intake and resolution of IT system problems for users and stakeholders throughout the department. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify any major hardware and commercial software associated with the Helpdesk Service:			
1	ServiceCenter	5	
2	Avaya	6	
3		7	
4		8	

1. IT Service Definition

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

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

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

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

1.3. Please identify the number of users of this service: Approx 18000

1.4. How many locations currently host IT assets and resources used to provide helpdesk services? 1

1.5. What communication channels are used for the service? *(Indicate all that apply)*

- On-line self-serve
- Telephone/IVR
- Remote desktop (e.g., PC Anywhere)
- Other
- On-line interactive
- Face-to-face

1.6. What is the scope of the service provided by the Help Desk: *(Check all boxes that apply)*

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Referring/escalating	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Tracking and reporting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Resolving/closing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

IT Service Requirements Worksheet: Helpdesk Service

1.7. Please identify the major IT systems or services for which the Help Desk must provide assistance:

1	FLORIDA system	5	Security
2	ACCESS Florida applications	6	Email
3	Florida Safe Families Network (FSFN)	7	Network
4	Desktop	8	

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No, Unknown)

somewhat similar

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

Yes No

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

Service provider must have expert knowledge of FLORIDA, ACCESS Florida, and Florida Safe Families Network (FSFN) applications. The federally approved cost allocation plan must be modified and re-approved to recoup costs.

Services provided by NSRC would require 180 days notification prior to terminating services.

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

3. IT Service Levels Required to Support Business Functions

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

Yes; formal Service Level Agreement(s)

Yes; informal agreement(s)

No; specific requirements have not been determined and approved by the department

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

SLA with NSRC establishes 4 severity levels and response times by severity for escalation and resolution. Total escalation time for resolution ranges from 2.5 hours for critical to 3.5 business days for low severity.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days the Help Desk service is required (*e.g., 0800-1600 M-F, 24/7*) 0700-2000 M-Th, F 0700-1900, Sat. 0800-1700 and on-call evenings

3.2.2. What are the impacts on the agency's business if the Help Desk service is not available?

Unable to resolve hardware, software, network, security and application-specific problems/questions or get problems referred to vendors to resolve.

3.2.3. What is the average monthly volume of calls/cases/tickets? 15,881

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

IT Service Requirements Worksheet: Helpdesk Service

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

Help Desk staff must have expert knowledge of the department’s strategic systems, FLORIDA (including ACCESS Florida) and Florida Safe Family Network (FSFN). Help Desk staff also currently provide services on behalf of NSRC and all NSRC customers, ACCESS Community Partners, Family Safety CBCs, and SAMH Providers.

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

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

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

- Yes
- No

3.2.6.1. If yes, please specify and describe:

Data encryption standards and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality.

4. User/customer satisfaction

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

- Yes
- No

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

Reports on volume of calls, type of calls, resolution rate and cost per call are provided to management on a monthly basis via the department’s intranet site.

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

- Yes
- No

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

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

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

5. Additional Information

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

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan

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

Costs are recovered under the federally approved cost allocation plan.

5.3. Other pertinent information related to this service

DCF Help Desk service is currently providing help desk services for NSRC and all agencies served by NSRC, ACCESS Community Partners, Family Safety CBCs, and SAMH Providers.

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani**
 Phone: **921-5565**
 Date submitted: **10-10-2010**

Network Service

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

Identify the major hardware and commercial software associated with this service:			
1	Computer Associates Brightstor Enterprise Backup	5	
2	Citrix Metaframe for Remote Access	6	
3	Suncom/MFN Network Services	7	
4	Cisco Routers, Switches, and Firewalls	8	

1. IT Service Definition

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

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

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

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

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

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

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

20000

Approx

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

Approx 235

1.6. How many locations currently use WAN services?

157

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

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

IT Service Requirements Worksheet: Network Service

Other

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No)

Somewhat similar

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

Yes No

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

Service level requirements must be validated to ensure another IT service provider could maintain circuits, equipment, all servers and user accounts, install and update relevant software and troubleshoot any WAN/LAN problems for all of our 20,000 (approx.) users in all locations statewide and for those private sector business partners (if any) who depend on us for their LAN service. In addition, funds must be provided and the federally approved cost allocation plan must be modified and reapproved to recoup costs.

Services provided by NSRC would require 180 days notification prior to terminating services.

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

3. IT Service Levels Required to Support Business Functions

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

Yes; informal agreement(s)

No; specific requirements have not been determined and approved by the department

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

Please see DCF/NSRC service level agreement provided for details.

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

Yes; formal Service Level Agreement(s)

Yes; informal agreement(s)

No; specific requirements have not been determined and approved by the department

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

Subscribed bandwidth, proactive monitoring/troubleshooting, coordinated maintenance and 99.99% availability for LAN services. Additionally, that servers are available 24x7 except for scheduled maintenance for central office. Some outlying sites require uptime during regular business hours only. Network services provided by NSRC will be available 99.5% of scheduled availability.

3.3. Timing and Service Delivery Requirements

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

3.3.1.1. Online availability

24/7

3.3.1.2. Offline and availability for maintenance

as needed

IT Service Requirements Worksheet: Network Service

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)?
Management becomes involved with process as soon as they are notified of an outage. This can be from any of our service areas that are on the DCF WAN/ LAN. There is no general tolerance level for the system to be down from unplanned outages

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

The LAN service provides backbone connectivity in each of the department's facilities throughout the state. Staff utilizes the WAN/LAN in some way to provide virtually all services provided by the department. If the WAN/LAN service is unavailable, department staff would have difficulties providing services to clients, access strategic applications, share automated data, run e-mail, and communicate information on-line

3.3.3. Does the agency have a standard for required bandwidth its locations? Yes No
 If yes, indicate the standard (*e.g. fiber channels for certain locations*)

10mb minimum workstation connect from the LAN switch. 10mb from the LAN switch to premise router. WAN connection varies depending on usage at site.

3.3.4. Are there any agency-unique service requirements? Yes No
 If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

The system must accommodate mobile/remote users and VPN/extranet connections to partner entities.

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

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

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

3.3.6.1. If yes, please specify and describe:

Data encryption standards, and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

4. User/customer satisfaction

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

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

Weekly reports to management detailing if uptime statistics are within stated goals.

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

Yes No

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

IT Service Requirements Worksheet: Network Service

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

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

5. Additional Information

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

General Revenue, Trust Fund, Federal Financial Participation (FFP). FFP requires formal federal prior approval of cost allocation plan.

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Emergency Transition Service

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

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Domestic Violence Batterer Intervention Program Lookup	5	
2	Emergency Financial Assistance for Housing Program (EFAHP)	6	
3	Refugee Services Database System	7	
4		8	

1. IT Service Definition

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

Provides for the delivery of services to individuals in need of emergency services due to relocation to the United States as refugees, asylees, Cuban/Haitian entrants and victims of human trafficking, individuals in need of emergency housing assistance, or victims of domestic violence. Includes the provision of financial assistance through the Emergency Financial Assistance for Housing Program as well as the monitoring and reporting of services (both needed and provided) delivered by contracted service providers, and the provision of information related to available resources.

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

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

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

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

1.4. Please identify the number of users of this service. 10
designated users and any member of the general public who is in need of domestic violence intervention information

1.5. How many locations currently host this service? 2

2. Service Unique to Agency

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

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

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

Yes No

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

Service level requirements must be validated to ensure another IT service provider could provide equivalent functionality and maintain and trouble-shoot existing applications. Existing licenses would need to be transferred to the new service provider. Legislative appropriation of funds must be changed and the federally approved cost allocation plan must be modified and reapproved.

The provider of IT services would have to demonstrate comparable business and technical knowledge, ability to procure and manage contracts, and ability to establish and maintain working relationships with state, federal, and private partners. Data sharing agreements and processes currently in place and in progress would have to be re-evaluated and revised as necessary.

Criteria in Chapter 282.201 (4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

General formal SLA with NSRC. System availability and support as needed to meet state and federal policy and practice requirements.

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 24/7/365

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) none

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

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

When there is down time we cannot process and approve payments for overdue rent or mortgage. If checks do not go out in a timely manner, our applicants face eviction or foreclosure, and in the worst case, homelessness. Individuals in need of domestic violence intervention information would be unable to access intervention resources.

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

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

Secure bank processing

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

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

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

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

- Yes
 No

3.2.5.1. If yes, please specify and describe:

Federal restrictions on protection of SSNs. Applicants and family members must have SSNs. They also submit other personal information that must be kept private and secure.

4. User/customer satisfaction

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

- Yes
 No

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

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

- Yes
 No

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
Refugee Assistance Programming on ACCESSFlorida	D3A #36305CO: Refugee Assistance Programming addresses an audit finding of several years that time-limited refugee benefits are not terminated timely because they must be done manually. This project adds an automatic notification and termination programming to ACCESSFlorida.	2/1/2012	6/18/2012	\$102,400 (issue requests budget authority; funds are 100% federal)

5. Additional Information

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

Funding for additional programming and upkeep of EFAHP online come from TANF funds through the ACCESS program. The batterers intervention application funding is 100% state funded, part of which is supported with fees collected via checks from Batterer's Intervention Program Service Providers.

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

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

IT Administration and Management Service

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

Identify major IT application systems that are included (in whole or part) in this IT Service:			
1	Application Registry	5	
	Information Resource Request (IRR)		
2	Tracking System	6	
	Information System for Allocating Costs (ISAC)		
3		7	
4	ServiceCenter	8	

1. IT Service Definition

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

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

1.2. How many locations currently host assets and resources used to provide IT administration and management services? **1**

2. Service Unique to Agency

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

- Yes No

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

An external service provider could perform these services only if that provider is able to meet federal requirements for receiving funds and allocation costs. The department must have prior federal approval to make certain IT expenditures. Also, the department has a complex, federally-approved cost allocation plan that must be maintained and adhered to in order to keep from jeopardizing federal funding.

Services provided by NSRC would require 180 days notification prior to terminating services.

IT Service Requirements Worksheet: Data Center Service

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

[Empty text box]

3. IT Service Levels Required to Support Business Functions

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

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

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

General formal SLA with NSRC. System availability 24/7/365 or as needed, scheduled maintenance windows, and ongoing maintenance and enhancement to meet state and federal policy and practice requirements.

3.2. Timing and Service Delivery Requirements

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

0700-1900

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

The duty manager is notified immediately when any system is down (DCF IS SOP C-25) so that the issue can be addressed.

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

- Yes
- No

If yes, please specify and describe:

HIPAA and other state/federal laws that address issues of personal or other data confidentiality

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

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

Extensive federal coordination is required for both expenditure and reimbursement of IT expenses (agency-unique cost allocation)

4. User/customer satisfaction

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

- Yes
- No

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

[Empty text box]

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

- Yes
- No

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

[Empty text box]

IT Service Requirements Worksheet: Data Center Service

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

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

5. Additional Information

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

General revenue, trust fund, and federal funds participation (FFP). FFP requires formal federal prior approval of this agency's cost allocation plan and certain expenditures over specified thresholds

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Children and Families**
Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
Phone: **921-5565**
Date submitted: **10-10-2010**

IT Security/Risk Mitigation Service

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

1. IT Service Definition

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

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

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

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

2. Service Unique to Agency

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

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

- Yes
- No

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

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

The provider must have in-depth knowledge of the department's business, data, and systems—as well as knowledge of state and federal privacy and security requirements—in order to make sure that information is properly protected. The security and risk mitigation requirements are very detailed because of the type of data protected. The provider would have to be able to pass an SSA and IRS safeguard audits and procedures would have to be in place to ensure that an external provider has no access to that data. In fact, having anyone other than this agency's employees having access to the IRS data is a federal crime and therefore no other agency or provider may run the ACCESS program's systems that DCF currently owns and operates. Other issues relating to Federal funds must be resolved, such as the federally approved cost allocation plan must be modified and re-approved to recoup costs. If any part of the service could be moved to another provider, any portion of the service currently provided by the NSRC would require 180 days notice prior to the change.

3. IT Service Levels Required to Support Business Functions

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

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

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

Physical and logical security, including building security, badges, security profiles, access to data as approved by customer, etc. Standard language in NSRC SLA regarding responsibility for COOP. NSRC to provide disaster recovery services for certain applications.

3.2. Timing and Service Delivery Requirements

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

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

The provider has to be able to pass SSA and IRS safeguard audits and procedures must be in place to ensure that an external provider has no access to that data.

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

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

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

- Yes No

If yes, please specify and describe:

HIPAA, CFOPs 50-2, 50-4, 50-5, 50-7, 50-13, 50-14, Information Systems SOP's, S-1, S-2, S-3, S-5, S-7, S-8, S-9, department disaster recovery plan, Title IV-A, Title IV-D, Title IV-E, Title XIX, specific Social Security Administration and Internal Revenue Service requirements

4. User/customer satisfaction

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

- Yes No

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

Annual safeguard reviews, periodic security audits, as-needed management updates

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

- Yes No

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

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

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

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

5. Additional Information

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

General revenue, trust fund, federal funds participation (FFP). FFP requires formal federal prior approval of the agency's cost allocation plan.

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Data Center Service

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

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

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

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

Identify the non-strategic and strategic IT services that are supported (in whole or part) by data center services offered at the following data centers and computing facilities.		
1	Northwood Shared Resource Center	Email, Agency Financial and Administrative Systems Support, IT Administration and Management, Portal/Web Management, Child and Adult Safety, Self Sufficiency, Substance Abuse and Mental Health, Emergency Transition.
2	Southwood Shared Resource Center	Child Care
3	Northwest Regional Data Center	Child and Adult Safety
4	Agency (non-primary) Data Center	Child and Adult Safety, Substance Abuse and Mental Health
5	Agency Computing Facilities	Substance Abuse and Mental Health, Financial and Administrative Systems Support
6	Other External Data Center(s):	

1. IT Service Definition

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

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

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

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

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

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

1.3.1. Number of agency data center(s) 3

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

Name of Agency Data Center	Major IT Application Systems Supported	External Agency Supported (if applicable)
Suncoast Region	Please see attached list of systems.	N/A
Florida State Hospital	Please see attached list of systems.	N/A
Northeast Florida State Hospital	Please see attached list of systems.	N/A
Winewood (Hotline; exception to retain requested in data center consolidation proviso report)	Please see attached list of systems.	N/A

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

1.4.1. Number of agency computing facilities 87

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

Name of Computing Facility	Major IT Application Systems Supported	External Agency Supported (if applicable)
Winewood (Inspector General; exception to retain requested in data center consolidation proviso report)	Please see attached list of systems.	N/A
Central Region/Orlando Hurston	Please see attached list of systems.	N/A
Central Region/Ft. Pierce	Please see attached list of systems.	N/A
North Florida Evaluation and Treatment Center	Please see attached list of systems.	N/A
Northeast Region	No applications are hosted at this computing facility.	N/A
Northwest Region	No applications are hosted at this computing facility.	N/A
Southeast Region	No applications are hosted at this computing facility.	N/A
Southern Region	No applications are hosted at this computing facility.	N/A
Suncoast Region	No applications are hosted at this computing facility.	N/A

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

1.5.1. Total number of logical servers not housed in an agency data center, agency computing facility, or primary data center 70

1.5.2. Total number of single logical-server installations 65

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

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

IT Service Requirements Worksheet: Data Center Service

None of these servers are reported as hosting applications.

2. Data Center Consolidation

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

07/2009 for Northwood, 07/2011 for Winewood, Not Available for regions/institutions.

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

Yes No

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

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

3. IT Service Levels Required to Support Business Functions

3.1. Timing and Service Delivery Requirements

3.1.1. Hours/Days that service is required (*e.g., 0600-2400 M-F, 24/7*) 24/7/365

3.1.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? Depends
on system or service; 5 minutes to 15 minutes for mission critical systems.

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

Yes No

If yes, please specify and describe:

IRS and Social Security Administration regulations relating to security of information, equipment, and facilities; Chapter 282, Florida Statutes, Health Information Portability and Accountability Act (HIPAA)

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

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

IRS and Social Security Administration regulations relating to security of information, equipment, and facilities; Chapter 282, Florida Statutes, Health Information Portability and Accountability Act (HIPAA)

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

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

4. User/customer satisfaction

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

Yes No

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

IT Service Requirements Worksheet: Data Center Service

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

Yes No

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

Additional equipment to support ACCESSFlorida functionality and ongoing mechanism to fund services at the Northwood Shared Resource Center.

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

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion
ACCESSFlorida MyAccount and Food for Florida	Upgrades for midrange platform that did not go forward for NSRC last year to support planned and necessary ACCESS programming.	2009 (issue drafted and submitted)	November 2010	Costs are being refined at this time.
ACCESSFlorida Improved Customer Service	D3A #36315CO provides the necessary NSRC environment and DCF programming resources for continued ACCESS modernization and improved efficiency for customers.	7-1-2011	6-30-2012	\$1,862,980 total with \$610,057 for DCF and \$1,252,923 for NSRC
DCF Support for DOR CAMS	D3A #36220CO provides funding for DCF and NSRC to support DOR CAMS implementation.	7-1-2011	2-1-2012	\$733,899 total with \$460,200 for DCF and \$273,699 for NSRC

5. Additional Information

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

These services are funded by general revenue and federal match as applicable; adjustments are unknown at this time.

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

For DCF IT, there is a federally approved cost allocation plan. Work done in institutions and regions is part of the agency collocated matrix and cost plan. The Northwood Shared Resource Center operates separately as does the Southwood Shared Resource Center.

5.3. Other pertinent information related to this service

N/A

Name of IT System	Agency Data Center/Agency Computing Facility Hosting the Application
Accounts.mdb	Orlando Hurston

IT Service Requirements Worksheet: Data Center Service

Name of IT System	Agency Data Center/Agency Computing Facility Hosting the Application
Bank Accounting	Orlando Hurston
Client Relations	Orlando Hurston
CR Projects	Fort Pierce
Faxstat	Fort Pierce
FinalInvoice.mdb	Orlando Hurston
Tanf.mdb	Orlando Hurston
Tanf_be.mdb	Orlando Hurston
Technical Blog	Fort Pierce
Abnormal Involuntary Movement Scale	FSH
Baker Act Court Reporting	FSH
Behavior Tracking	FSH
Canteen Point-of-Sale System	FSH
Case Manager Tracking	FSH
Cemetery Plot Tracking System	FSH
Census/Demographic Tracking	FSH
Chart Review	FSH
Civil Staff Reporting (Direct Care)	FSH
Clinical Scorecard	FSH
Competency Evaluation Administration Record	FSH
Computation Food Management/Nutritional Assessment	FSH
Consultation Referral/Report	FSH
Consumer Satisfaction Tracking System	FSH
Court Report Scheduler	FSH
Court Reports Tracking System	FSH
Diagnosis Tracking	FSH
Emergency Treatment Order Tracking	FSH
Employee Data System	FSH
E-Plans	FSH
Forensic Administrator's Web Page	FSH
Forensic Staff Reporting (Direct Care)	FSH
FSH Intranet Web site	FSH
Functional Assessment Rating System	FSH
Functional Disabilities Tracking	FSH
Guardian/Representative Info	FSH
High Risk Meeting Report	FSH
Highlands Library System	FSH
Horitherapy Point-of-Sale	FSH
Human Resources Employee Management System	FSH
ID Badge System	FSH
Information Release Tracking System	FSH
IS HelpDesk	FSH
Laboratory System	FSH
Living Environment Alternative Preferences Tracking	FSH
Maladaptive Behaviors	FSH
Medical Bills Log	FSH

IT Service Requirements Worksheet: Data Center Service

Name of IT System	Agency Data Center/Agency Computing Facility Hosting the Application
Medical Clinics/Registries (15)	FSH
Medical Service Director Review	FSH
Medical Unit Admissions/Transfers	FSH
Medication Consent Tracking	FSH
Minor Property	FSH
Monthly Nursing Progress Notes	FSH
Mortality Registry	FSH
Music Therapy Media Inventory System	FSH
Observation/Maladaptive Behaviors Database (Unit 27)	FSH
Ongoing Issues	FSH
OrderImage	FSH
PC-ACE	FSH
Pharmacy System	FSH
Physicians Medicare Billing	FSH
Pinboard	FSH
Psychiatric Progress Note	FSH
Psychology Progress Note	FSH
Psychotropic Drug Refusals	FSH
Recovery Plan Meeting Minutes	FSH
Recovery Plan Scheduling	FSH
Recovery Referral Services	FSH
Rehabilitation Therapy Interest & Skills Assessment	FSH
Resident Charges	FSH
Resident Complaint Tracking	FSH
Resident Desk Files	FSH
Resident Personal Safety Plan	FSH
Resident Physical Information	FSH
Resident Readiness Assessment	FSH
Resident Services Attendance Tracker	FSH
Resident Training Tracking	FSH
Resident Trust Banking System	FSH
Risk Management Incident Tracking System	FSH
RxAssist	FSH
Seclusion/Restraint Tracking System	FSH
Security Random Inspection System	FSH
Service Provider Progress Note	FSH
Social Security Benefits Status Tracking	FSH
Social Services Progress Note	FSH
Social Services Tracking System	FSH
Substance Abuse Services Progress Note	FSH
Substance Abuse/Use Screen	FSH
System Access Tracking System	FSH
Telecommunications Service Request Tracking System	FSH
Telephone Database	FSH
Training Management System	FSH

IT Service Requirements Worksheet: Data Center Service

Name of IT System	Agency Data Center/Agency Computing Facility Hosting the Application
Transition/Transfer Plan	FSH
Transportation Log	FSH
Tuberculosis Tracking	FSH
Unit 31 Clinics Scheduling	FSH
Unscheduled Absence Tracking System	FSH
Weight/BMI Tracking/Reporting	FSH
Work Order Tracking	FSH
X-Ray Tracking System	FSH, NEFSH
Kronos (Time keeping & Scheduling)	FSH, NEFSH, NFETC
Adobe Elements	Hotline
Automize	Hotline
Contact Center Express (CCE)	Hotline
EMC Documentum IRM Client	Hotline
Impact360	Hotline
Lightning Fax	Hotline
Nice Analyzer	Hotline
Ultra	Hotline
Wallboard	Hotline
AmCom Intellidesk System	NEFSH
Code Search	NEFSH
Community Assessment	NEFSH
Community Point-of-Sale	NEFSH
Community Provider	NEFSH
Diagnosis Tracking	NEFSH
Dietary	NEFSH
Engineering Johnson Control Systems	NEFSH
First Coastal DDE	NEFSH
Functional Assessment Rating System	NEFSH
InfoRad	NEFSH
Kodak Digital X-Ray	NEFSH
Maintenance Connection	NEFSH
Medics Pharmacy System	NEFSH
Mental Health Quality Review Tracking	NEFSH
MicroTel Call Accounting	NEFSH
Partners Satisfaction	NEFSH
Reports Database	NEFSH
Resident Admission	NEFSH
Resident Clothing	NEFSH
Resident Customer Satisfaction	NEFSH
Resident Daily Census	NEFSH
Resident Discharge	NEFSH
Resident Incident Tracking	NEFSH
Resident Individual Habilitation System	NEFSH
Resident Infection Control	NEFSH

IT Service Requirements Worksheet: Data Center Service

Name of IT System	Agency Data Center/Agency Computing Facility Hosting the Application
Resident Leave Tracking	NEFSH
Resident Legal Competency	NEFSH
Resident Legal Status	NEFSH
Resident Living Area Assignment	NEFSH
Resident Medical Appointments	NEFSH
Resident Medication Occurrence	NEFSH
Resident Payer Tracking	NEFSH
Resident Pre-Admission	NEFSH
Resident Pre-Discharge	NEFSH
Resident Private Insurance Tracking	NEFSH
Resident Relationship Tracking	NEFSH
Resident Responsible Staff	NEFSH
Schick Dental X-Ray System	NEFSH
Staff Data Base/Login Control	NEFSH
Staff Development and Training	NEFSH
Staff Infection Control	NEFSH
Track-It Computer Inventory & Help Desk	NEFSH
Resident Banking	NEFSH, NFETC
Resident Seclusion and Restraint Tracking	NEFSH, NFETC
Accounting Invoice/Cash Flow	NFETC
AD Query Facility	NFETC
Admissions Processing	NFETC
Center Committees	NFETC
Center Forms	NFETC
Center Outcome Measures	NFETC
Center Policies	NFETC
Center Printer Cartridge Use	NFETC
Cisco switch monitoring	NFETC
Computer Management	NFETC
Data Warehouse	NFETC
Employee & Leave Requests	NFETC
Employee ID Badger	NFETC
Employee Information System	NFETC
Employee Training	NFETC
Impromptu	NFETC
Inventory - Center	NFETC
Inventory - Food	NFETC
Inventory - Medication/Drug Room	NFETC
Inventory - Pills (Drugs)	NFETC
Inventory - Resident Canteen/Shop	NFETC
Inventory - Warehouse	NFETC
Maintenance Open POs	NFETC
Maintenance Work Orders	NFETC
Medical & Dental Appointments	NFETC
MicroTestQ Psychology Testing	NFETC

IT Service Requirements Worksheet: Data Center Service

Name of IT System	Agency Data Center/Agency Computing Facility Hosting the Application
Network Send Message	NFETC
Psychotropic Medication Compliance	NFETC
QSI (Pharmacy)	NFETC
Resident Chart Audits	NFETC
Resident Competency Assessments	NFETC
Resident Dietary	NFETC
Resident DISCUS Tracking	NFETC
Resident Information System	NFETC
Resident Laboratory Specimens	NFETC
Resident Medication Court Hearings	NFETC
Resident Records Requests	NFETC
Resident Treatment Participation	NFETC
Security and Incident Reporting	NFETC
Security Searches	NFETC
Smartserver (E-forms, Inc)	NFETC
Spector	NFETC
Sure Quest Three Squares	NFETC
Vehicle Gas/Mileage	NFETC
Veramark Call Accounting	NFETC
Warehouse Records Storage	NFETC
Access Authorization Request Information System (AARSYS)	Suncoast
ACCESS Hearings	Suncoast
Bulletin Board Information System (BBIS)	Suncoast
Caretaker	Suncoast
FAX Phonebook	Suncoast
Funds Accountability System (FAST)	Suncoast
Home Care for Disabled Adults Vouchering System (HCDA)	Suncoast
IMS Plus	Suncoast
Integrated Child Welfare Services Information System (ICWSIS)	Suncoast
Legal Case Tracking Information System (LEGAL)	Suncoast
Lotus Notes Instant Messaging	Suncoast
Mobile Inventory/Phone Bill	Suncoast
Phone Directory (WEBPHONE)	Suncoast
Record Storage Information System (RSIS)	Suncoast
Red Flag Log	Suncoast
Statewide Asset Dataloader System (Dataloader)	Suncoast
Statewide Asset Tracking System (SATS)	Suncoast
Substance Abuse and Mental Health (SAMH) Provider Database	Suncoast
System Monitor	Suncoast
Telecommuting Request	Suncoast
Ticket Tracking System	Suncoast

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 15, 2010**

Portal/Web Management Service

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

Identify the major hardware and commercial software associated with this service:			
1	.Net	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

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

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

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

1.3. Please identify the number of Internet users of this service. potentially
any member of the general public, all agency employees and all other agencies have access to the Internet

1.4. Please identify the number of intranet users of this service. 20,000+

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

2. Service Unique to Agency

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

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?
 Yes No

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

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

Funds must be provided and the federally approved cost allocation plan must be modified and reapproved to recoup costs. Service must be able to support existing online services provided to the citizens of the State of Florida.

Services provided by NSRC would require 180 days notification prior to terminating services.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Timing and Service Delivery Requirements

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

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

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

Unable to serve Clients and Community-based partners. Information will not be as readily available to the general public and to government employees and would have to be distributed in an alternative format such as paper documents

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

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

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Data encryption standards, and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

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

4. User/customer satisfaction

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

Yes No

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

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

Yes No

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

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

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

5. Additional Information

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

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

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

5.3. Other pertinent information related to this service

Web/portal provides 24/7 information to public regarding services provided by the Department. Also provides citizens with 24/7 online application for ACCESS services and usage will be expanded to further allow ACCESS customers to perform an increasing number of self-service activities associated with their public assistance benefits.

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Child Care Service

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

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Child Care Information System	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

Supports the Department's activities associated with the regulation of licensed child care facilities, licensed family day care homes, licensed large family child care homes, and licensed mildly ill facilities in 60 of the 67 counties in Florida, and administration of the registration of family day care homes not required to be licensed.

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

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

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

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

1.4. Please identify the number of users of this service. **80,000**

1.5. How many locations currently host this service? **2**

2. Service Unique to Agency

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

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

- Yes No

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

All current service levels in place must be met or exceeded.
Criteria in Chapter 282.201(4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

General formal SLA with SSRC; enhancements, maintenance and support.

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 24/7

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 24/7

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

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

Disruption to staff, providers and the general public

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

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

Data encryption for personnel information, including social security numbers

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Data encryption for personnel information, including social security number

4. User/customer satisfaction

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

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

Yes No

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

Monthly invoices include tasks performed by SSRC and weekly reports outlining issues and enhancements

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

Yes No

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

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

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

5. Additional Information

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

FGTF supports the system and this funding originates as Child Care Development Funding through an interagency agreement with the Agency for Workforce Innovation.

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

Services performed at the Southwood Shared Resource Center are charged as established in the service level agreement.

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Child and Adult Safety Service

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

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Abuse Hotline Web Reporting Tool	11	Family Safety Bulletin Tracker
2	Adoption Exchange System	12	Florida Safe Families Network (FSFN)
3	Adoption Reunion Registry	13	Integrated Child Welfare Services Information System
4	Adult Services Information System	14	Missing Children Tracking System
5	Caretaker Screening Information System	15	phoeniX
6	Children Not Seen System	16	Private Adoption Image Management System
7	Child Welfare Legal System	17	AS-Pic-Database (Northeast Region)
8	Child Welfare Resource Record	18	Caretaker (Suncoast Region)
9	Enterprise Client Index	19	FS PI Case Tracker (Northeast Region)
10	Explore Adoption Newsletter Subscription Request	20	Record Storage Information System (Suncoast Region)
		21	Red Flag Log (Suncoast Region)

1. IT Service Definition

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

Supports the department's need to record reports of child and adult abuse or neglect, record information gathered during the investigation, track services delivered by community-based care and law enforcement agencies and DCF counselors, provide payment to foster families; provide database and search capability to assist in finding permanent homes for children waiting to be adopted, and generate management reports. This service supports child welfare, adult services, and abuse hotline programs administered by the department.

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

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

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

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

1.4. Please identify the number of users of this service. 11,500

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

1.5. How many locations currently host this service? **4**

2. Service Unique to Agency

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

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

Yes No

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

The provider of data center services would have to meet existing service levels and operational requirements of 24/7/365 availability for the major applications (Hotline and FSFN), and be able to locate hotline in single location with 24/7 access for hotline staff to work in shifts, IT staff, and system, with requisite emergency power, backup and failover system, in self-contained facility.

The provider of IT services would have to demonstrate comparable business and technical knowledge, ability to procure and manage contracts, and ability to establish and maintain working relationships with state, federal, and private partners. Data sharing agreements and processes currently in place and in progress would have to be re-evaluated and revised as necessary.

Criteria in Chapter 282.201 (4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

General formal SLA with NSRC. System availability 24/7/365, scheduled maintenance windows, and ongoing maintenance and enhancement to meet state and federal policy and practice requirements.

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) **24/7/365**

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) **Hotline has batch and maintenance running 24/7. 1900-0700 daily for FSFN**

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)? **0 minutes for Hotline and FSFN, other applications may be down longer**

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

Abused/neglected children and adults are put at risk. Suspected abuse could not be reported, investigations of abuse could not be initiated in a timely manner.

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

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

Statutory requirement for 24/7/365 availability to report suspected abuse, requirements to initiate investigations within specific time frames. Need to track wait lists for services.

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

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

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

Yes No

3.2.5.1. If yes, please specify and describe:

HIPAA, Title IV-E, Chapter 39, F.S., Chapter 409, F.S., Title XIX, IV-D and IV-A.

4. User/customer satisfaction

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

Yes No

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

Monthly via internet and intranet, ad hoc per request

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

Yes No

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
FSFN restoration of base funding for ongoing system support	D3A issue #36326CO requests this restoration needed to maintain ongoing operations	N/A (funding restoration, not project)		\$940,000 recurring funds restoration
Remote Data Capture for Child Protective Investigators (CPIs)	D3A issue #36307CO requests funding to pilot and purchase new devices for DCF and Sheriffs' CPIs to expand FSFN mobility.	July 2010	December 2011	Issue total is \$4,946,651 with \$3,579,353 for DCF; \$56,460 for NSRC; and \$1,310,838 for Sheriffs' CPIs via grants from DCF.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

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5. Additional Information

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

GR, trust fund, federal reimbursement. Federal funding requires formal federal approval of Advance Planning Document (APD) as well as prior approvals of individual expenditures over federally established threshold.

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

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FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-9-2010**

Substance Abuse and Mental Health Service

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

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Forensic Waiting List	5	Substance Abuse Mental Health
2	Juvenile Incompetent to Proceed	6	Substance Abuse Mental Health Waitlist
3	Sexually Violent Predator Program Database	7	See 5.3 for list of systems used by the department's mental health institutions
4	Substance Abuse Licensure Information System	8	

1. IT Service Definition

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

This service supports the delivery of medical and behavioral health services to individuals with mental health or substance abuse problems in the community as well as in state mental health treatment facilities. This service also supports the daily operation of the department's mental health treatment facilities as well as the monitoring and reporting of services and service outcomes pertaining to clients served in state-contracted community substance abuse and mental health provider agencies.

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

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

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

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

1.4. Please identify the number of users of this service. **6150**

1.5. How many locations currently host this service? **4**

2. Service Unique to Agency

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

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

Yes No

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

A budget request must be submitted by the Department and approved by the Legislature to provide the funds needed for ongoing development and maintenance of the systems.
Criteria in Chapter 282.201 (4)(a), F.S. would have to be met regarding relocation.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

General formal SLA with NSRC. Maintenance agreements for updates and software issues related to performance. Informal IT related performance measures.

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 24/7/365
at Institutions, 0700-1900 M-S others

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) varies from
24/7/365 to 1900-2200

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 15 min, 30 min, 60 min)? 5 min

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

Risk to health and safety of clients served in state mental health treatment facilities due to essential clinical treatment not being provided (e.g., medications thru the pharmacy system). Staff time wasted and services delayed in community provider agencies due to lack of timely data needed for treatment plan, eligibility determination, aftercare referral of clients released from the Department of Corrections, etc.

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

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

Chapter 2008-243, Laws of Florida, and Section 394.9082, Florida Statutes, require the department to develop and maintain a behavioral health data management and reporting system, which promotes efficient use of data by the service delivery system, but also addresses the management and clinical care needs of the service providers and managing entities and provides information needed for various state and federal reporting requirements.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Data encryption standards, portions of Title XIX, IV-A, HIPAA that address data confidentiality, forensic confidentiality requirements, DCF security policies.

4. User/customer satisfaction

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

- Yes
- No

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

Daily capacity charts, monthly help desk performance standards, monthly performance review process.

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

- Yes
- No

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

There is a need to increase data accessibility and visibility by providing online standard and ad hoc reports needed by stakeholders at the federal, state, regional, circuit and local provider levels.

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
Web Infrastructure Treatment System (WITS)	D3A planned for submission in supplemental LBR to support provider, institution, and electronic health record needs; will include start and end dates and cost of completion.			

5. Additional Information

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

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

The following table provides a list of the applications/systems used by the department's three mental health institutions.

Institution	System	Description
FSH	Abnormal Involuntary Movement Scale	Tracks resident Tardive data.
FSH	Baker Act Court Reporting	Tracks court information on Baker Act residents.
FSH	Behavior Tracking	Tracks/records resident behaviors.
FSH	Canteen Point-of-Sale System	Tracks Resident Canteen Inventory and Sales.
FSH	CARF Question and Answer Forum	Provides an online means to submit CARF questions to CARF coordinator.
FSH	Case Manager Tracking	Tracks residents' case managers.
FSH	Census/Demographic Tracking	Records resident demographics and tracks admissions, discharges and transfers.
FSH	Chart Review	Provides a comprehensive overview of resident clinical data.
FSH	Clinical Scorecard	Displays/reports medication usage.
FSH	Computrition Food Management/Nutritional Assessment	Tracks and records resident diet information and provides recipe/menu management.
FSH	Court Report Scheduler	Schedules Resident Competency Evaluations.
FSH	Court Reports Tracking System	Tracks Resident Competency Evaluations.
FSH	Critical Incident Reporting	Tracks/records resident critical incidents.
FSH	Diagnosis Tracking	Tracks Resident Diagnosis.
FSH	Emergency Treatment Order Tracking	Tracks Emergency Treatment Orders.
FSH	E-Plans	Electronic resident recovery plan.
FSH	Forensic Staff Reporting (Direct Care)	Records Forensic Services direct care staffing per shift.
FSH	FSH Intranet Web site	Portal to staff and resident data.
FSH	Functional Assessment Rating System	Tracks residents' functional assessment ratings.
FSH	Functional Disabilities Tracking	Tracks resident functional disabilities.
FSH	Guardian/Representative Info	Tracks resident Guardian information.
FSH	Horitherapy Point-of-Sale	Tracks Horitherapy Inventory and Sales.
FSH	Laboratory System	Tracks lab requests and results.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

Institution	System	Description
FSH	Living Environment Alternative Preferences Tracking	Displays Virtual Tours of Discharge Facilities.
FSH	Maladaptive Behaviors	Tracks/records resident maladaptive behaviors.
FSH	Medical Clinics/Registries (15)	Tracks Medical Clinics and Registries data.
FSH	Medical Service Director Review	Allows monitoring of physicians' caseloads.
FSH	Medical Unit Admissions/Transfers	Tracks Medical Unit Admissions/Transfers.
FSH	Medication Consent Tracking	Tracks all resident medication consents.
FSH	Minor Property	Tracks property under \$1000.
FSH	Monthly Nursing Progress Notes	Provides electronic version of Form 78.
FSH	Music Therapy Media Inventory System	Provides online tracking and inventory of music therapy library
FSH	Observation/Maladaptive Behaviors Database (Unit 27)	Records/tracks observations, schedules attendance, and tracks performance reward points.
FSH	OrderImage	Provides a means to scan pharmacy orders into the Pharmacy application via the unit fax machines.
FSH	Pharmacy System	Tracks administration and inventory of medications.
FSH	Psychotropic Drug Refusals	Tracks resident medication refusals.
FSH	Recovery Plan Scheduling	Schedules Recovery Plan Team Reviews.
FSH	Recovery Referral Services	Electronic referral to help speed up referral services to residents.
FSH	Resident Desk Files	Displays Resident-specific information.
FSH	Resident Personal Safety Plan	Provides electronic version of Form 325.
FSH	Resident Physical Information	Tracks resident physical data.
FSH	Resident Readiness Assessment	Provides electronic version of Form 208.
FSH	Resident Services Attendance Tracker	Tracks resident attendance in services provided.
FSH	RxAssist	Records/tracks Pharmacy interventions.
FSH	Seclusion/Restraint Tracking System	Tracks resident seclusion/restraint.
FSH	Social Services Tracking System	Tracks Resident Discharge Planning and Competency data.
FSH	Statewide Dental Services	Tracks resident dental procedures.
FSH	Training Management System	Tracks employee training.
FSH	Tuberculosis Tracking	Tracks resident TB/screening data.
FSH	Unit 31 Clinics Scheduling	Scheduling tool for Unit 31 inpatient and outpatient clinics.
FSH	Weight/BMI Tracking/Reporting	Provides a means to track resident weight/BMI.
FSH	X-Ray Tracking System	Tracks/records X-Rays.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

Institution	System	Description
NEFSH	Code Search	Assist in defining proper diagnosis coding
NEFSH	Community Assessment	Clinical Evaluation
NEFSH	Community Provider	Community Provider Database
NEFSH	Diagnosis Tracking	Client Diagnosis Database
NEFSH	Dietary	Dietary Tracking and Food Delivery System
NEFSH	Functional Assessment Rating System	Clinical Evaluation for improvement.
NEFSH	Kodak Digital X-Ray	Digitizer for X-Ray system
NEFSH	Medics Pharmacy System	Pharmacy Inventory and Distribution System
NEFSH	Resident Admission	Track Client Admissions
NEFSH	Resident Banking	Tracking of client funds
NEFSH	Resident Clothing	Tracking clothing issued to clients
NEFSH	Resident Customer Satisfaction	Track and report client satisfaction
NEFSH	Resident Daily Census	Tracks client population
NEFSH	Resident Discharge	Tracks client discharge
NEFSH	Resident Incident Tracking	Tracks and reports client incidents
NEFSH	Resident Individual Habilitation System	Tracks and reports client Habilitation plan and schedule
NEFSH	Resident Infection Control	Tracks and reports client disease and inoculations
NEFSH	Resident Leave Tracking	Tracks client Leave
NEFSH	Resident Legal Competency	Tracks Client Legal Competency status
NEFSH	Resident Legal Status	Tracks Client Legal Status and Charges
NEFSH	Resident Living Area Assignment	Tracks bed utilization
NEFSH	Resident Medical Appointments	Schedules and Tracks Client Medical Appointments
NEFSH	Resident Medication Occurrence	Tracks Medication Occurrence errors
NEFSH	Resident Pre-Admission	Tracks pre-admissions to facility
NEFSH	Resident Pre-Discharge	Tracks and reports clients in discharge status
NEFSH	Resident Relationship Tracking	Tracks, reports and notification of individuals responsible for care of client
NEFSH	Resident Responsible Staff	Tracks and reports staff member responsible for client
NEFSH	Resident Seclusion/Restraints Tracking	Tracks and reports the use of Seclusion and Restraints
NEFSH	Schick Dental X-Ray System	Digital Dental X-Ray system
NEFSH	Staff Infection Control Staff	Tracks and reports staff disease and inoculations

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

Institution	System	Description
NEFSH	X-Ray Tracking	Storage of completed X-Ray reports
NFETC	Admissions Processing	Tracks admission processing compliance
NFETC	Inventory - Food	Center food inventory tracking
NFETC	Inventory - Medication/Drug Room	Center Medications inventory tracking
NFETC	Inventory - Pills (Drugs)	Pills inventory tracking
NFETC	MedCart	Medication Management Software
NFETC	Medical & Dental Appointments	Tracks resident appoints (internal and external)
NFETC	Plan - Electronic Health Record	Implement Electronic Record Software
NFETC	Plan - Wireless	Add Wireless access
NFETC	Psychological Testing	Records/reports MMPI test results
NFETC	Psychotropic Medication Compliance	Tracks audits of medication compliance
NFETC	QS1 (Pharmacy)	Pharmaceutical software
NFETC	Resident Chart Audits	Records/reports on chart deficiencies
NFETC	Resident Competency Assessments	Tracks resident competency assessment
NFETC	Resident Dietary	Records/reports resident diets
NFETC	Resident DISCUS Tracking	Tracks Discus performance
NFETC	Resident FARS Scoring	Tracks FARS scores
NFETC	Resident Information System	Record/report resident demographics, census, admissions & discharges
NFETC	Resident Laboratory Specimens	Record/report on resident lab work
NFETC	Resident Medication Court Hearings	Records/schedules resident court hearings
NFETC	Resident Records Requests	Records/report clinical records requests/receipts
NFETC	Resident Recovery/Service & Nursing Care Planning	Records/report clinical and nursing service plans
NFETC	Resident Seclusion and Restraint Tracking	Records/report resident seclusion/restraint hours
NFETC	Resident Treatment Participation	Record/report resident participation in treatment activities
NFETC	Security and Incident Reporting	Record/report incident and security reports
NFETC	Smartserver (E-forms, Inc)	Enables Voucher printing from FLAIR
NFETC	Sure Quest Three Squares	Food Services recipe and menu software

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

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **10-10-2010**

Self-Sufficiency Service

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

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	ACCESS Document Imaging	9	Integrated Benefit Recovery System
2	ACCESS Florida Web Application	10	My ACCESS Account
3	ACCESS Florida Prescreening Tool	11	Platinum Community Partner
4	ACCESS Kidcare	12	Report Changes System
5	ACCESS Management System	13	Supplemental Payment System
6	FLORIDA System	14	Web Automated Response Unit
7	Food for Florida	15	IMS Plus (Suncoast Region)
8	Intake Management System		

1. IT Service Definition

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

Supports the department's efforts to assist individuals and families become self-sufficient through needs-based public assistance programs (Temporary Assistance for Needy Families, Medicaid, refugee assistance, and food stamps) that provide benefits to children and families, and aged, blind or disabled adults. This service also supports child support case management, payment collection and payment distribution activities for the Department of Revenue (DOR/CSE), provides Medicaid eligibility information to the Agency for Health Care Administration (AHCA) for provider payment processing, and provides the primary vehicle for the exchange of data between a variety of state and federal agencies. This service also provides data and database capabilities for monitoring and reporting.

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

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

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

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

1.4. Please identify the number of users of this service. Approx.
9,500 designated users and any resident of the state who wishes to apply for public assistance benefits, or who currently receives benefits.

1.5. How many locations currently host this service? 2

2. Service Unique to Agency

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

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

Yes No

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

DCF IT staff who are state employees must retain the capability to trouble-shoot and maintain IRS data carried by the system. Only state employees of the department are authorized to handle/see this federal data—contracted staff are not permitted to even troubleshoot problems that involve IRS data. In addition, FLORIDA is the federally identified gateway for data exchanges with the US Department of Health and Human Services, through DCF. That designation would have to be changed. The cost allocation plan that allows DCF to recoup federal funds would have to be changed and approved by the federal government to move to another agency, and could potentially result in a loss of matching funds that the state needs to operate the system if not done properly.

DOR is in the process of moving their functionality out of the FLORIDA system and any activity that would negatively impact that process would need to be delayed until after they have fully implemented their CAMS system in February 2012.

Criteria in Chapter 282.201(4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

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

3. IT Service Levels Required to Support Business Functions

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

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

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

SLA with DOR contains requirements for application support services, billing and cost recovery, help desk, security, and contracted services for printing and mailing of client notices.

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 24/7/365

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 0001-0700 M-F; 1901-2400 M-F; 0001-2400 S-S

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)? The duty manager is immediately notified (DCF IS SOP C-25) so that the issue is addressed and resolved. Time tolerance is very limited because the system must be available 24/7/365 to users.

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

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

Citizens unable to apply for benefits, recipients unable to self-manage cases, staff unable to process applications for public assistance benefits and unable to manage child support cases.

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

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

Only state employees of the department are authorized to handle/see certain federal data that is carried by the system—contracted staff are not permitted even to troubleshoot problems that involve this data. In addition, FLORIDA is the federally identified gateway for data exchanges with the US Department of Health and Human Services and other state and federal data sources, for DCF as well as other state agencies.

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

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

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

Yes No

3.2.5.1. If yes, please specify and describe:

HIPAA, Title XIX, Title IV-A, Title IV-D, IRS

4. User/customer satisfaction

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

Yes No

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

Daily operational reviews, frequent meetings, work sessions, customer satisfaction surveys, hard copy status reports of work in progress/completed.

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

Yes No

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

NSRC has indicated they do not have sufficient resources to support planned initiatives funded for FY 2010-11 that are anticipated to be implemented by the start of FY 2011-12. NSRC need to replace aging equipment and to purchase additional equipment.

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
ACCESS Florida Restoration of Base Funding	Issue # 36201C0 requests funding to restore resources needed for programming of the ACCESS program's public assistance eligibility systems.	7/1/2011	6/30/2012	\$1,000,000
ACCESS Florida Federal Mandates	Issue # 36202C0 requests funding to implement federally mandated changes to provide certification materials and client notices in 7 additional languages and to implement an automated asset verification system for certain Medicaid applicants/recipients.	7/1/2011	6/1/2012	\$2,245,000
ACCESS Florida Health Care Reform	Issue # 36203C0 is a placeholder issue that requests funding to begin design and programming to implement federal health care reform requirements. This is the first year of a multi-year effort.	7/1/2011	12/31/2013	\$6,372,000
FLORIDA Support for Department of Revenue CAMS Project	Issue # 36220C0 requests funding for the final part of current project to remove Child Support Enforcement functionality from the FLORIDA system, the completion of acceptance testing, support for DOR's 3-month pilot, and necessary implementation activities.	3/1/2009	2/1/2012	\$2,257,166

5. Additional Information

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

GR, trust fund, federal reimbursement. Federal funding requires formal federal approval of Advance Planning Document (APD) as well as prior approvals of individual expenditures over federally established threshold.

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

DCF will use the federally approved cost allocation plan for its work and will use NSRC cost allocation for work done at the data center.

5.3. Other pertinent information related to this service

Non-Strategic IT Service:		Network Service		Combined v.2011-12				
Dept/Agency: Dept. of Children and Families		Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs				
Prepared by: Lori Schultz		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
Phone: 487-8902					Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning - - Assets & Resources (Cost Elements)								
A. Personnel				26.75	\$3,502,535	\$3,502,535	\$2,049,465	-\$1,453,070
A-1.1	State FTE	3	25.75		\$3,502,535	\$3,502,535	\$2,007,985	-\$1,494,550
A-2.1	OPS FTE		1.00		\$0	\$0	\$41,480	\$41,480
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware				275643	\$1,032	\$1,032	\$1,509,468	\$1,508,436
B-1	Servers		234	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support	1	234	156	\$1,032	\$1,032	\$106,578	\$105,546
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)		3886	2954	\$0	\$0	\$374,559	\$374,559
B-4	Online Storage for file and print (indicate GB of storage)		131652		\$0	\$0	\$55,141	\$55,141
B-5	Archive Storage for file and print (indicate GB of storage)		139637		\$0	\$0	\$2,400	\$2,400
B-6	Other Hardware Assets (Please specify in Footnote Section below)	5			\$0	\$0	\$970,790	\$970,790
C. Software				2	\$0	\$0	\$26,581	\$26,581
D. External Service Provider(s)					\$0	\$0	\$2,198,881	\$2,198,881
D-1	MyFloridaNet				\$0	\$0	\$1,330,782	\$1,330,782
D-2	Other (Please specify in Footnote Section below)	6			\$0	\$0	\$868,099	\$868,099
E. Other (Please describe in Footnotes Section below)				4	\$97,884	\$97,884	\$40,645	-\$57,239
F. Total for IT Service					\$3,601,451	\$3,601,451	\$5,825,040	\$2,223,589
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	42 - Cisco 3750 Switches @ Winewood 21 @ Northwood w/Lifetime warranty, no recurring cost, 1-Cisco 6509 and WLAN Controller at Winewood w/recurring cost, 2-WIFI Controllers @ Northwood w/recurring cost.							
2	This is Cisco ACS RADIUS software that sits on 2 separate servers. This is maintenance on this software, the \$3130 covers both copies of ACS. Also 3138 licenses (password management, backup, defrag, undelete, imaging)							
3	9.50 at OITS, 16.25 in the field							
4	FTE and allocated costs							
5	MFDs, VTC							
6	Air cards, tethering for BlackBerrys, WAN service, ISP, UPS maintenance, network line costs other than Hotline							
7								
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Non-Strategic IT Service: E- Mail, Messaging, and Calendaring Service								
Agency: Dept. of Children and Families				Form: FY 2011-12 Schedule IV-C -				
Prepared by: Lori Schultz		# of Assets & Resources AppORTioned to this IT Service in FY 2011- 12		Estimated IT Service Costs				
Phone: 487- 8902				A	B	C	D	
Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	Initial Estimate for Fiscal Year 2010- 11	Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel								
A-1	State FTE	1	13.50		\$1,527,175	\$1,527,175	\$976,407	-\$550,768
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware								
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)		2873	2873	\$0	\$0	\$876,947	\$876,947
B-4	Online Storage (indicate GB of storage)		0		\$0	\$0	\$0	\$0
B-5	Archive Storage (indicate GB of storage)		0		\$0	\$0	\$0	\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0	\$0	\$0	\$0
C. Software								
D. External Service Provider(s)								
D-1	Southwood Shared Resource Center				\$0	\$0	\$0	\$0
D-2	Northwood Shared Resource Center				\$0	\$0	\$285,799	\$285,799
D-3	Northwest Regional Data Center				\$0	\$0	\$0	\$0
D-4	Other Data Center External Service Provider (specify in Footnotes below)				\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)								
		3			\$33,876	\$33,876	\$22,453	-\$11,423
F. Total for IT Service					\$1,561,051	\$1,561,051	\$2,318,205	\$471,355
G. Administrative Overhead - Percentage of Other Non- Strategic IT Service Costs Supporting Email Service								
To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AEIT based on the agency Schedule IV-C submissions for these IT services. For the purposes of the Schedule IV- C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.								
OT-1	Network							
OT-2	Desktop IT Service		10.00%	\$ 423,194				
OT-3	Help Desk		3.71%	\$ 99,587				
OT-4	IT Security & Risk Mitigation							
OT-5	IT Administration & Management							
SUBTOTAL					\$ 522,781			
Fully- loaded IT Service Cost \$					2,840,986			
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	7.50 from OITS, 6.00 from the field							
2								
3	FTE and allocated expenses							
4								
5								
6								
7								
8								
9								

Non-Strategic IT Service: Desktop Computing Service											
Agency: Dept. of Children and Families Prepared by: Lori Schultz Phone: 487- 8902				Form: FY 2011- 12 Schedule IV-C -							
Service Provisioning - - Assets & Resources (Cost Elements)				# of Assets & Resources Apporioned to this IT Service in FY 2011- 12				Estimated IT Service Costs			
				Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	A	B	C	D	
				Initial Estimate for Fiscal Year 2010- 11	Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)				
A. Personnel					68.00		\$3,317,510	\$3,317,510	\$4,088,347	\$770,837	
A-1	State FTE	1	68.00		\$3,317,510	\$3,317,510	\$4,088,347	\$770,837			
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0			
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0			
B. Hardware					30365	6332	\$812	\$812	\$57,692	\$56,880	
B-1	Servers		2	0	\$0	\$0	\$0	\$0			
B-2	Server Maintenance & Support		2	1	\$812	\$812	\$344	-\$468			
B-3.1	Desktop Computers		15336	0	\$0	\$0	\$0	\$0			
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)		8350	0	\$0	\$0	\$0	\$0			
B-3.3	Other Hardware Assets (Please specify in Footnote Section below)	2	6675	6331	\$0	\$0	\$57,348	\$57,348			
C. Software				4			\$204,216	\$204,216	\$65,532	-\$138,684	
D. External Service Provider(s)					0	0	\$235,484	\$235,484	\$0	-\$235,484	
E. Other (Please describe in Footnotes Section below)				3			\$373,808	\$373,808	\$20,366	-\$353,442	
F. Total for IT Service							\$4,131,830	\$4,131,830	\$4,231,937	\$100,107	
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.											
1	12.50 from OITS; 55.50 from the field										
2	6331 printers and 344 scanners										
3	FTE and allocated expenses										
4	Adobe Presenter, AfterEffects, Visual Studio, Autosoft, Dictran										
5											
6											
7											
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Non-Strategic IT Service:		Helpdesk Service			Form: FY 2011-12 Schedule IV-C -																			
Agency: Dept. of Children and Families					<table border="1"> <thead> <tr> <th colspan="4">Estimated IT Service Costs</th> </tr> <tr> <th>A</th> <th>B</th> <th>C</th> <th>D</th> </tr> <tr> <th>Initial Estimate for Fiscal Year 2010-11</th> <th>Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)</th> <th>Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)</th> <th>Planned Increase/Decrease of Recurring Base Funding (Columns C - B)</th> </tr> </thead> <tbody> <tr> <td>\$747,820</td> <td>\$747,820</td> <td>\$2,533,709</td> <td>\$1,785,889</td> </tr> </tbody> </table>				Estimated IT Service Costs				A	B	C	D	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease of Recurring Base Funding (Columns C - B)	\$747,820	\$747,820	\$2,533,709	\$1,785,889
Estimated IT Service Costs																								
A	B								C	D														
Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease of Recurring Base Funding (Columns C - B)																					
\$747,820	\$747,820	\$2,533,709	\$1,785,889																					
Prepared by: Lori Schultz																								
Phone: 487-8902																								
Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D																
A. Personnel			41.00		\$747,820	\$747,820	\$2,533,709	\$1,785,889																
A-1	State FTE	1	41.00		\$737,468	\$737,468	\$2,533,709	\$1,796,241																
A-2	OPS FTE		0.00		\$10,352	\$10,352	\$0	-\$10,352																
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0																
B. Hardware			0	0	\$0	\$0	\$0	\$0																
B-1	Servers		0	0	\$0	\$0	\$0	\$0																
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0																
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0																
C. Software					\$0	\$0	\$70,105	\$70,105																
D. External Service Provider(s)		2	0	0	\$2,060,780	\$2,060,780	\$10,812	-\$2,049,968																
E. Other (Please describe in Footnotes Section below)		3			\$96,425	\$96,425	\$69,667	-\$26,758																
F. Total for IT Service					\$844,245	\$2,905,025	\$2,684,293	-\$220,732																
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.																								
1	31.00 from OITS; 10.00 from the field																							
2	Technical support from Connect Server																							
3	FTE and allocated expenses																							
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Non-Strategic IT Service: IT Security/Risk Mitigation Service							
Agency: Dept. of Children and Families			Form: FY 2011-12 Schedule IV-C -				
Prepared by: Lori Schultz			# of Assets & Resources Apportioned to this IT Service in FY 2011- 12				
Phone: 487- 8902							
Service Provisioning - - Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	Estimated IT Service Costs			
				A Initial Estimate for Fiscal Year 2010- 11	B Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		18.00		\$1,504,186	\$1,504,186	\$1,486,678	-\$17,508
A-1 State FTE	1	17.00		\$1,504,186	\$1,504,186	\$1,303,809	-\$200,377
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		1.00		\$0	\$0	\$182,869	\$182,869
B. Hardware		14	5	\$688	\$688	\$9,444	\$8,756
B-1 Servers		7	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		7	5	\$688	\$688	\$9,444	\$8,756
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software				\$13,202	\$13,202	\$140,420	\$127,218
D. External Service Provider(s)	2	0	0	\$0	\$0	\$34,361	\$34,361
E. Other (Please describe in Footnotes Section below)	3			\$72,845	\$72,845	\$14,866	-\$57,979
F. Total for IT Service				\$1,590,921	\$1,590,921	\$1,685,769	\$94,848
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Non-Strategic IT Service: Agency Financial and Administrative Systems Support Service									
Agency: Dept. of Children and Families Prepared by: Lori Schultz Phone: 487- 8902		# of Assets & Resources Apportioned to this IT Service in FY 2011- 12		Form: FY 2011-12 Schedule IV-C -					
Service Provisioning - - Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	Estimated IT Service Costs			
						A Initial Estimate for Fiscal Year 2010- 11	B Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				34.00		\$1,940,428	\$1,940,428	\$2,721,328	\$780,900
A-1	State FTE		1	20.25		\$1,383,587	\$1,383,587	\$1,520,336	\$136,749
A-2	OPS FTE			2.25		\$0	\$0	\$23,059	\$23,059
A-3	Contractor Positions (Staff Augmentation)			11.50		\$556,841	\$556,841	\$1,177,933	\$621,092
B. Hardware				71	47	\$95,683	\$95,683	\$117,515	\$21,832
B-1	Servers			12	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support			12	4	\$94,192	\$94,192	\$100,521	\$6,329
B-3	Other Hardware Assets (Please specify in Footnote Section below)		4	47	43	\$1,491	\$1,491	\$16,994	\$15,503
C. Software			5			\$528,780	\$528,780	\$297,873	-\$230,907
D. External Service Provider(s)			2	0	0	\$1,550,272	\$1,550,272	\$1,895,309	\$345,037
E. Other (Please describe in Footnotes Section below)			3			\$19,313	\$19,313	\$44,368	\$25,055
F. Total for IT Service						\$4,134,476	\$4,134,476	\$5,076,393	\$941,917
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	17.50 from OITS; 2.75 from the field								
2	NSRC								
3	FTE and related expenses								
4	45 Kronos biometric machines, 1 DVR, 1 Agilent WireScope 350								
5	Impromptu, AutoCad, Kronos, Smartserver, Survey Monkey etc.								
6									
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Non-Strategic IT Service: IT Administration and Management Service									
Agency: Dept. of Children and Families Prepared by: Lori Schultz Phone: 487- 8902		# of Assets & Resources Apportioned to this IT Service in FY 2011- 12		Form: FY 2011-12 Schedule IV-C -					
Service Provisioning - - Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	Estimated IT Service Costs			
					A Initial Estimate for Fiscal Year 2010- 11	B Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)	
A. Personnel				54.25		\$1,055,370	\$1,055,370	\$4,331,713	\$3,276,343
A-1	State FTE		1	53.75		\$1,055,370	\$1,055,370	\$4,304,781	\$3,249,411
A-2	OPS FTE			0.00		\$0	\$0	\$26,932	\$26,932
A-3	Contractor Positions (Staff Augmentation)			0.50		\$0	\$0	\$0	\$0
B. Hardware				14	1	\$461	\$461	\$18,480	\$18,019
B-1	Servers			7	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support			7	1	\$461	\$461	\$18,480	\$18,019
B-3	Other Hardware Assets (Please specify in Footnote Section below)			0	0	\$0	\$0	\$0	\$0
C. Software			2			\$0	\$0	\$205,834	\$205,834
D. External Service Provider(s)				0	0	\$0	\$0	\$153,841	\$153,841
E. Other (Please describe in Footnotes Section below)			3			\$88,076	\$88,076	\$205,589	\$117,513
F. Total for IT Service						\$1,143,907	\$1,143,907	\$4,915,457	\$3,771,550
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	39.50 from OITS; 14.25 from the field								
2	Boxer Text Editor, Primal Studio, Sequel Server licenses, VmWare								
3	FTE and allocated expenses								
4									
5									
6									
7									
8									
9									
10									
11									
12									
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Non-Strategic IT Service: Portal/Web Management Service											
Dept/Agency: Dept. of Children and Families Prepared by: (Enter name of person who completed this worksheet) Phone: (enter phone number for person named above)				Form: Schedule IV-C -Combined v.2011-12							
Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>				# of Assets & Resources Apportioned to this IT Service In FY 2011-12				Estimated IT Service Costs			
				Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding	
A. Personnel					6.00		\$779,407	\$779,407	\$450,281	-\$329,126	
A-1.1	State FTE	1	5.75		\$772,506	\$772,506	\$426,151	-\$346,355			
A-2.1	OPS FTE		0.00		\$6,901	\$6,901	\$0	-\$6,901			
A-3.1	Contractor Positions (Staff Augmentation)		0.25		\$0	\$0	\$24,130	\$24,130			
B. Hardware							\$15,358	\$15,358	\$16,898	\$1,540	
B-1	Servers		17	0	\$5,161	\$5,161	\$0	-\$5,161			
B-2	Server Maintenance & Support		17	15	\$10,197	\$10,197	\$16,898	\$6,701			
B-3	Other Hardware Assets <i>(Please specify in Footnotes Section below)</i>		0	0	\$0	\$0	\$0	\$0			
C. Software							\$51,086	\$51,086	\$13,273	-\$37,813	
D. External Service Provider(s)					0	0	\$17,668	\$17,668	\$0	-\$17,668	
E. Other <i>(Please describe in Footnotes Section below)</i>				3			\$42,106	\$42,106	\$5,069	-\$37,037	
F. Total for IT Service							\$905,625	\$905,625	\$485,521	-\$420,104	
G.	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.										
1	2.00 from OITS; 3.75 from the field										
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3	FTE and allocated expenses										
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Non-Strategic IT Service:		Data Center Service		Form: Schedule IV-C -Combined v.2011-12			
Dept/Agency: Dept. of Children and Families							
Prepared by: (Enter name of person who completed this worksheet)							
Phone: (enter phone number for person named above)							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11 (if submitted)	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)		4.50		\$0	\$0	\$359,796	\$359,796
A-1.1 State FTE	1	4.50		\$0	\$0	\$359,796	\$359,796
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
Calculated total non-mainframe servers from all IV-C services 346				\$0	\$0	\$1,425	\$1,425
Calculated total mainframes from all IV-C services 0							
B. Hardware							
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-4 Online or Archival Storage Systems (indicate GB of storage)		8000		\$0	\$0	\$0	\$0
B-5 Data Center/ Computing Facility Internal Network				\$0	\$0	\$1,425	\$1,425
B-6 Other Hardware (Please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)				\$0	\$0	\$0	\$0
D-1 Southwood Shared Resource Center (indicate # of Board votes)		0		\$0	\$0	\$0	\$0
D-2 Northwood Shared Resource Center (indicate # of Board votes)		0		\$0	\$0	\$0	\$0
D-3 Northwest Regional Data Center (indicate # of Board votes)		0		\$0	\$0	\$0	\$0
D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0	\$0	\$0	\$0
E. Plant & Facility		Total	Est Utilized	\$0	\$0	\$3,226,424	\$3,226,424
E-1 Agency Data Center (indicate total square feet)	2	1860	1860	\$0	\$0	\$0	\$0
E-2 Computing Facilities (indicate total square feet)	3	12805	12805	\$0	\$0	\$232,623	\$232,623
E-3 Office Space (indicate total square feet)	4	65016	65016	\$0	\$0	\$2,835,839	\$2,835,839
E-4 Backup Generator, Power Distribution Units, UPS, etc. (indicate capacity in KW)		731	329	\$0	\$0	\$124,266	\$124,266
E-5 Utilities (e.g., electricity and water) (estimated total annual KWH)	5	64591		\$0	\$0	\$8,731	\$8,731
E-6 Environmentals (e.g., HVAC, fire control, and physical security)				\$0	\$0	\$24,965	\$24,965
E-7 Other (please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$0	\$0	\$3,587,645	\$3,587,645
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	All are in the field (no OITS)						
2	970 Suncoast, 450 FSH, 440 NEESH; all state-owned buildings, no rent/lease costs						
3	Sites: 11 Central, 6 Northeast, 30 Northwest, 6 Southeast, 16 Southern, 1 NFETC; IG						
4	Northwood Center, less space for NSRC						
5	Utilities generally included in lease cost (except for most of Northwood Center lease)						
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Strategic IT Service: Child and Adult Safety							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 487-8902				A	B	C	D
Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		31.25		\$822,982	\$822,982	\$2,076,533	\$1,253,551
A-1.1 State FTE	1	13.75		\$822,982	\$822,982	\$575,577	-\$247,405
A-2.1 OPS FTE		10.00		\$0	\$0	\$55,878	\$55,878
A-3.1 Contractor Positions (Staff Augmentation)		7.50		\$0	\$0	\$1,445,078	\$1,445,078
B. Hardware		45	0	\$82,368	\$82,368	\$61,089	-\$21,279
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		45	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$76,708	\$76,708	\$59,771	-\$16,937
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)	4			\$5,660	\$5,660	\$1,318	-\$4,342
C. Software				\$847,559	\$847,559	\$348,123	-\$499,436
D. External Service Provider(s)	2	0	0	\$7,639,327	\$7,639,327	\$6,311,038	-\$1,328,289
E. Other (Please describe in Footnotes Section below)	3			\$32,485	\$32,485	\$31,018	-\$1,467
F. Total for IT Service				\$9,424,721	\$9,424,721	\$8,827,801	-\$596,920
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	13.50 FTE from OITS; 0.25 from the field						
2	NSRC						
3	FTE and allocated expenses						
4	Dell PowerVault MD3000i for Hotline, 6423 GB storage						
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Strategic IT Service: Self Sufficiency							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C --Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		116.25		\$17,366,281	\$17,366,281	\$14,697,816	-\$2,668,465
A-1.1 State FTE	1	19.25		\$2,077,258	\$2,077,258	\$1,429,177	-\$648,081
A-2.1 OPS FTE		0.00		\$0	\$0	\$884	\$884
A-3.1 Contractor Positions (Staff Augmentation)		97.00		\$15,289,023	\$15,289,023	\$13,267,755	-\$2,021,268
B. Hardware		3	3	\$164,960	\$164,960	\$179,099	\$14,139
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		3	3	\$5,152	\$5,152	\$0	-\$5,152
B-3 Server Maintenance & Support				\$140,794	\$140,794	\$179,099	\$38,305
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$19,014	\$19,014	\$0	-\$19,014
C. Software				\$1,213,132	\$1,213,132	\$324,256	-\$888,876
D. External Service Provider(s)	2	0	0	\$12,891,621	\$12,891,621	\$11,243,468	-\$1,648,153
E. Other (Please describe in Footnotes Section below)	3			\$264,484	\$264,484	\$837,075	\$572,591
F. Total for IT Service				\$31,900,478	\$31,900,478	\$27,281,714	-\$4,618,764
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	All OITS						
2	NSRC						
3	FTE and allocated expenses						
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Strategic IT Service: Substance Abuse and Mental Health							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C --Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		16.25		\$1,380,931	\$1,380,931	\$1,036,897	-\$344,034
A-1.1 State FTE	1	15.25		\$1,235,331	\$1,235,331	\$966,127	-\$269,204
A-2.1 OPS FTE		0.75		\$145,600	\$145,600	\$8,363	-\$137,237
A-3.1 Contractor Positions (Staff Augmentation)		0.25		\$0	\$0	\$62,407	\$62,407
B. Hardware		19	0	\$25,420	\$25,420	\$14,718	-\$10,702
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		19	0	\$4,241	\$4,241	\$0	-\$4,241
B-3 Server Maintenance & Support				\$21,179	\$21,179	\$14,718	-\$6,461
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software	4			\$80,885	\$80,885	\$160,152	\$79,267
D. External Service Provider(s)	2	0	0	\$502,245	\$502,245	\$159,875	-\$342,370
E. Other (Please describe in Footnotes Section below)	3			\$36,648	\$36,648	\$8,409	-\$28,239
F. Total for IT Service				\$2,026,129	\$2,026,129	\$1,380,051	-\$646,078
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	3.25 FTE from OITS; 12.00 from the field						
2	NSRC						
3	FTE and allocated expenses						
4	Software used by mental health institutions for food/nutrition mgt, pharmacy, lab, psychological testing, etc						
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Strategic IT Service: (External) Agency for Persons with Disabilities								
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Lori Schultz								
Phone: 487-8902								
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding	
A. Personnel		0.00		\$0	\$0	\$621	\$621	
A-1.1 State FTE		0.00		\$0	\$0	\$616	\$616	
A-2.1 OPS FTE		0.00		\$0	\$0	\$5	\$5	
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0	
B. Hardware		0	0	\$0	\$0	\$0	\$0	
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0	
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0	
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0	
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0	
C. Software				\$0	\$0	\$111	\$111	
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0	
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$54	\$54	
F. Total for IT Service				\$0	\$0	\$786	\$786	
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: (External) Dept. of Health							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		2.25		\$479,212	\$479,212	\$491,558	\$12,346
A-1.1 State FTE	1	0.25		\$74,849	\$74,849	\$16,915	-\$57,934
A-2.1 OPS FTE		0.00		\$0	\$0	\$673	\$673
A-3.1 Contractor Positions (Staff Augmentation)		2.00		\$404,363	\$404,363	\$473,970	\$69,607
B. Hardware		0	0	\$113,593	\$113,593	\$92	-\$113,501
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$97,338	\$97,338	\$0	-\$97,338
B-3 Server Maintenance & Support				\$16,255	\$16,255	\$92	-\$16,163
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$31,146	\$31,146	\$669	-\$30,477
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)	3			\$15,977	\$15,977	\$5,230	-\$10,747
F. Total for IT Service				\$639,928	\$639,928	\$497,549	-\$142,379
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	All OITS						
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3	FTE and allocated expenses						
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Strategic IT Service: Emergency Transition							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.25		\$372,321	\$372,321	\$26,954	-\$345,367
A-1.1 State FTE	1	0.25		\$355,067	\$355,067	\$24,535	-\$330,532
A-2.1 OPS FTE		0.00		\$17,254	\$17,254	\$898	-\$16,356
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$1,521	\$1,521
B. Hardware		0	0	\$2,283	\$2,283	\$1,905	-\$378
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$2,283	\$2,283	\$1,905	-\$378
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$2,386	\$2,386	\$2,594	\$208
D. External Service Provider(s)	2	0	0	\$2,889	\$2,889	\$6,866	\$3,977
E. Other (Please describe in Footnotes Section below)	3			\$81,283	\$81,283	\$835	-\$80,448
F. Total for IT Service				\$461,162	\$461,162	\$39,154	-\$422,008
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	All OITS						
2	NSRC						
3	FTE and allocated expenses						
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Strategic IT Service: Child Care							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$5,277	\$5,277	\$1,078	-\$4,199
A-1.1 State FTE		0.00		\$5,277	\$5,277	\$1,076	-\$4,201
A-2.1 OPS FTE		0.00		\$0	\$0	\$2	\$2
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$2,447	\$2,447	\$1,761	-\$686
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$2,447	\$2,447	\$1,761	-\$686
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$579	\$579	\$6,861	\$6,282
D. External Service Provider(s)	2	0	0	\$10,548	\$10,548	\$119,140	\$108,592
E. Other (Please describe in Footnotes Section below)	3			\$724	\$724	\$38	-\$686
F. Total for IT Service				\$19,575	\$19,575	\$128,878	\$109,303
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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2	NSRC \$5,786; SSRC \$113,354						
3	FTE and allocated expenses						
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Strategic IT Service: Agency Strategic IT Service #8							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C --Combined v.2011-12					
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 487-8902				A	B	C	D
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Strategic IT Service: Agency Strategic IT Service #9							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 487-8902				A	B	C	D
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Strategic IT Service: Agency Strategic IT Service #10							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 487-8902				A	B	C	D
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Strategic IT Service: Agency Strategic IT Service #11							
Dept/Agency: Dept. of Children and Families		<small>Form: Schedule IV-C -Combined v.2011-12</small>					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Strategic IT Service: Agency Strategic IT Service #12							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 487-8902				A	B	C	D
Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other <small>(Please describe in Footnotes Section below)</small>				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - <small>Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</small>							
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Strategic IT Service:		Agency Strategic IT Service #13						
Dept/Agency: Dept. of Children and Families					<i>Form: Schedule IV-C -Combined v.2011-12</i>			
Prepared by: Lori Schultz								
Phone: 487-8902								
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding	
A. Personnel		0.00		\$0	\$0	\$0	\$0	
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0	
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0	
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0	
B. Hardware		0	0	\$0	\$0	\$0	\$0	
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0	
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0	
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0	
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0	
C. Software				\$0	\$0	\$0	\$0	
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0	
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0	
F. Total for IT Service				\$0	\$0	\$0	\$0	
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #14								
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Lori Schultz								
Phone: 487-8902								
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding	
A. Personnel		0.00		\$0	\$0	\$0	\$0	
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0	
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0	
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0	
B. Hardware		0	0	\$0	\$0	\$0	\$0	
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0	
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0	
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0	
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0	
C. Software				\$0	\$0	\$0	\$0	
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0	
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0	
F. Total for IT Service				\$0	\$0	\$0	\$0	
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #15							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Strategic IT Service: Agency Strategic IT Service #16							
Dept/Agency: Dept. of Children and Families		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Combined v.2011-12					Strategic Services																
Agency: Dept. of Children and Families					Child and Adult Safety	Self Sufficiency	Substance Abuse and Mental Health	(External) Agency for Persons with Disabilities	(External) Dept. of Health	Emergency Transition	Child Care	Agency Strategic IT Service #8	Agency Strategic IT Service #9	Agency Strategic IT Service #10	Agency Strategic IT Service #11	Agency Strategic IT Service #12	Agency Strategic IT Service #13	Agency Strategic IT Service #14	Agency Strategic IT Service #15	Agency Strategic IT Service #16	
Budget Entity Name	BE Code	Program Component Code	Program Component Name	Identified Funding as % of Total Cost of Service		100.0%	100.0%	100.0%	100.0%	100.0%	100.0%										
				Costs within BE	Funding Identified for IT Service																
1 Executive Dir/support Svcs	60900101	1304070000	Child Protection	\$0		\$8,827,801	\$27,281,714	\$1,380,050	\$786	\$497,549	\$39,154	\$128,878	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2 Executive Dir/support Svcs	60900101	1602000000	Exec Leadership/supprt Svc	\$0																	
3 Executive Dir/support Svcs	60900101	1602600100	Executive Leadership	\$0																	
4 Executive Dir/support Svcs	60900101	1602600200	Asst/secretary/admin	\$37,186,938		\$8,812,375	\$27,274,794	\$546,756	\$786	\$497,549	\$39,154	\$15,524									
5 Executive Dir/support Svcs	60900101	1602600300	District Administration	\$6,920			\$6,920														
6 Information Technology	60900202	1603000000	Information Technology	\$6,250		\$4,820		\$1,430													
7 Child Care Regulation/info	60910301	1304070000	Child Protection	\$0																	
8 Child Prot/permanency	60910304	1304070000	Child Protection	\$0																	
9 Family Safety/preservation	60910310	1204030000	Child Care Regulation	\$113,354							\$113,354										
10 Family Safety/preservation	60910310	1304030000	Homeless Assistance	\$0																	
11 Family Safety/preservation	60910310	1304060000	Adult Protection	\$0																	
12 Family Safety/preservation	60910310	1304070000	Child Protection	\$0																	
13 Family Safety/preservation	60910310	1304080000	Florida Abuse Hotline	\$1,318		\$1,318															
14 Family Safety/preservation	60910310	1602000000	Exec Leadership/supprt Svc	\$9,288		\$9,288															
15 Family Safety/preservation	60910310	1602600300	District Administration	\$0																	
16 Mental Health Services	60910506	1301020000	Civil Commitment Program	\$523,975				\$523,975													
17 Mental Health Services	60910506	1301030000	Forensic Commitment Prog	\$307,889				\$307,889													
18 Mental Health Services	60910506	1301080000	Adult/comm/mental/health	\$0																	
19 Mental Health Services	60910506	1301090000	Child/comm/mental/health	\$0																	
20 Mental Health Services	60910506	1602000000	Exec Leadership/supprt Svc	\$0																	
21 Substance Abuse Services	60910604	1201020000	Children Substance Abuse	\$0																	
22 Substance Abuse Services	60910604	1201030000	Adult Substance Abuse	\$0																	
23 Substance Abuse Services	60910604	1602000000	Exec Leadership/supprt Svc	\$0																	
24 Economic Self Sufficiency Service	60910708	1304000000	Services/most Vulnerable	\$0																	
25 Economic Self Sufficiency Service	60910708	1304010000	Comprehensive/eligib/svcs	\$0																	
26 Economic Self Sufficiency Service	60910708	1602000000	Exec Leadership/supprt Svc	\$0																	
27				\$0																	
28				\$0																	
29				\$0																	
30				\$0																	
				Sum of IT Cost Elements Across IT Services		48.75															
				Personnel	State FTE (#)	13.75	19.25	15.25	0.00	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
				Personnel	State FTE (Costs)	\$575,577	\$1,429,177	\$966,127	\$616	\$16,915	\$24,535	\$1,076	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Personnel	OPS FTE (#)	10.75	0.00	0.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
				Personnel	OPS FTE (Cost)	\$55,878	\$884	\$8,363	\$5	\$673	\$898	\$2	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Personnel	Vendor/Staff Augmentation (# Positions)	106.75	7.50	97.00	0.25	0.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
				Personnel	Vendor/Staff Augmentation (Costs)	\$15,250,731	\$1,445,078	\$13,267,755	\$62,407	\$0	\$473,970	\$1,521	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Hardware		\$258,664	\$61,089	\$179,099	\$14,718	\$0	\$92	\$1,905	\$1,761	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Software		\$842,766	\$348,123	\$324,256	\$111	\$669	\$2,594	\$6,861	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				External Services		\$17,840,387	\$6,311,038	\$11,243,468	\$159,875	\$0	\$6,866	\$119,140	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Other		\$882,659	\$31,018	\$837,075	\$8,409	\$54	\$5,230	\$835	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Totals of Costs		\$38,155,933	\$8,827,801	\$27,281,714	\$1,380,051	\$786	\$497,549	\$39,154	\$128,878	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
				Totals of FTE		166.25	31.25	116.25	16.25	0.00	2.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL	
	State FTE	State FTE Cost														
Non-Strategic IT Services																
IV-C Service																
Network	25.75	\$ 2,007,985	1.00	\$ 41,480	0.00	\$ -	26.75	\$ 2,049,465		234	\$ 1,509,468	\$ 26,581	\$ 2,198,881	\$ 40,645	\$ 5,825,040	
Email, Messaging, @ Calendaring	13.50	\$ 976,407	0.00	\$ -	0.00	\$ -	13.50	\$ 976,407		0	\$ 876,947	\$ 156,599	\$ 285,799	\$ 22,453	\$ 2,318,205	
Desktop Computing	68.00	\$ 4,088,347	0.00	\$ -	0.00	\$ -	68.00	\$ 4,088,347		2	\$ 57,692	\$ 65,532	\$ -	\$ 20,366	\$ 4,231,937	
Help Desk	41.00	\$ 2,533,709	0.00	\$ -	0.00	\$ -	41.00	\$ 2,533,709		0	\$ -	\$ 70,105	\$ 10,812	\$ 69,667	\$ 2,684,293	
IT Security/Risk Mitigation	17.00	\$ 1,303,809	0.00	\$ -	1.00	\$ 182,869	18.00	\$ 1,486,678		7	\$ 9,444	\$ 140,420	\$ 34,361	\$ 14,866	\$ 1,685,769	
Financial and Administrative Systems Support	20.25	\$ 1,520,336	2.25	\$ 23,059	11.50	\$ 1,177,933	34.00	\$ 2,721,328		12	\$ 117,515	\$ 297,873	\$ 1,895,309	\$ 44,368	\$ 5,076,393	
IT Administration & Management	53.75	\$ 4,304,781	0.00	\$ 26,932	0.50	\$ -	54.25	\$ 4,331,713		7	\$ 18,480	\$ 205,834	\$ 153,841	\$ 205,589	\$ 4,915,457	
Portal/Web Management	5.75	\$ 426,151	0.00	\$ -	0.25	\$ 24,130	6.00	\$ 450,281		17	\$ 16,898	\$ 13,273	\$ -	\$ 5,069	\$ 485,521	
Data Center	4.50	\$ 359,796	0.00	\$ -	0.00	\$ -	4.50	\$ 359,796		0	\$ 1,425	\$ -	\$ -	\$ -	\$ 3,587,645	
Total	249.50	\$ 17,521,321	3.25	\$ 91,471	13.25	\$ 1,384,932	266.00	\$ 18,997,724	0.00	279.00	\$ 2,607,869	\$ 976,217	\$ 4,579,003	\$ 423,023	\$ 30,810,260	
Data Center Plant & Facility:											\$ 3,226,424	(Included in Data Center total)				

	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
	State FTE	State FTE Cost													
Strategic IT Services															
IV-C Service															
Child and Adult Safety	13.75	\$ 575,577	10.00	\$ 55,878	7.50	\$ 1,445,078	31.25	\$ 2,076,533	0	45	\$ 61,089	\$ 348,123	\$ 6,311,038	\$ 31,018	\$ 8,827,801
Self Sufficiency	19.25	\$ 1,429,177	0.00	\$ 884	97.00	\$ 13,267,755	116.25	\$ 14,697,816	0	3	\$ 179,099	\$ 324,256	\$ 11,243,468	\$ 837,075	\$ 27,281,714
Substance Abuse and Mental Health	15.25	\$ 966,127	0.75	\$ 8,363	0.25	\$ 62,407	16.25	\$ 1,036,897	0	19	\$ 14,718	\$ 160,152	\$ 159,875	\$ 8,409	\$ 1,380,051
(External) Agency for Persons with Disabilities	0.00	\$ 616	0.00	\$ 5	0.00	\$ -	0.00	\$ 621	0	0	\$ -	\$ 111	\$ -	\$ 54	\$ 786
(External) Dept. of Health	0.25	\$ 16,915	0.00	\$ 673	2.00	\$ 473,970	2.25	\$ 491,558	0	0	\$ 92	\$ 669	\$ -	\$ 5,230	\$ 497,549
Emergency Transition	0.25	\$ 24,535	0.00	\$ 898	0.00	\$ 1,521	0.25	\$ 26,954	0	0	\$ 1,905	\$ 2,594	\$ 6,866	\$ 835	\$ 39,154
Child Care	0.00	\$ 1,076	0.00	\$ 2	0.00	\$ -	0.00	\$ 1,078	0	0	\$ 1,761	\$ 6,861	\$ 119,140	\$ 38	\$ 128,878
Agency Strategic IT Service #8	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #9	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #10	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #11	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #12	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #13	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #14	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #15	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #16	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Total	48.75	\$ 3,014,023	10.75	\$ 66,703	106.75	\$ 15,250,731	166.25	\$ 18,331,457	0.00	67.00	\$ 258,664	\$ 842,766	\$ 17,840,387	\$ 882,659	\$ 38,155,933

	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
	State FTE	State FTE Cost													
TOTALS															
All Schedule IV-C Services															
Non-Strategic IT Services	249.50	\$ 17,521,321	3.25	\$ 91,471	13.25	\$ 1,384,932	266.00	\$ 18,997,724	0	279	\$ 2,607,869	\$ 976,217	\$ 4,579,003	\$ 423,023	\$ 27,583,836
Strategic IT Services	48.75	\$ 3,014,023	10.75	\$ 66,703	106.75	\$ 15,250,731	166.25	\$ 18,331,457	0	67	\$ 258,664	\$ 842,766	\$ 17,840,387	\$ 882,659	\$ 38,155,933
Total	48.75	\$ 3,014,023	10.75	\$ 66,703	106.75	\$ 15,250,731	432.25	\$ 37,329,181	0.00	346.00	\$ 2,866,533	\$ 1,818,983	\$ 22,419,390	\$ 1,305,682	\$ 65,739,769

	COST BREAKDOWN					
	% IT Positions	% Hardware	% Software	% External Service Provider	% Other	% of Total Reported IT Cost
All Schedule IV-C Services						
Non-Strategic IT Services	68.87%	9.45%	3.54%	16.60%	1.53%	41.96%
Strategic IT Services	48.04%	0.68%	2.21%	46.76%	2.31%	58.04%
% of Total Reported IT Cost	56.783%	4.360%	2.767%	34.103%	1.986%	

Data Center Summary		Total	Total Utilized
Total Data Center Personnel			4.50
Total Servers from All IT Services - Mainframe			0
Total Servers from All IT Services - Non-Mainframe			346
Agency Data Center (TOTAL SQUARE FEET)		1860	1860
Computing Facilities (TOTAL SQUARE FEET)		12805	12805
Office Space (TOTAL SQUARE FEET)		65016	65016
Backup Generator, Power Distribution Units, UPS, etc. (CAPACITY IN KW)		731	
Utilities-Electricity (ESTIMATED TOTAL ANNUAL KWH)		64591	



SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Northwood Shared Resource Center

Master Agreement

Fiscal Years 2010 – 2013

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Glossary of Terms

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

Term	Definition
Service Change	A service change is defined as any change to hardware, software, network environment, etc., which directly affects the production environment within the Shared Resource Center. All service changes must be submitted to the weekly Enterprise Change Control.
Service Change – Emergency	Any Service Change which must be made in less than 24 hours.
Service Level Agreement (SLA)	A formal agreement entered into jointly by the Provider and the Customer that outlines the description of a service, the service level targets, costs, and the Provider and Customer responsibilities in delivering and receiving service from the Provider. The SLA includes the Master Agreement and all Attachments.
Service Response	Provider action taken in response to a customer's incident.

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider's Service Desk for all Provider service needs or service related inquiries	X	
Provide and maintain a single customer contact for service notifications (client-side distribution list recommended)	X	
Provide and maintain a single customer contact for billing related issues (client-side distribution list recommended)	X	
Provide and maintain a single customer contact for technical issues (client-side distribution list recommended)	X	
Provide and maintain a single customer contact for emergency outage issues (client-side distribution list recommended)	X	
Provide timely notification of changes to the Enterprise Change Control	X	
Provide prompt payment for services rendered	X	

Service Responsibilities	Customer	Provider
Adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		X
Provide timely notification of any service changes to the Enterprise Change Control		X
Provide timely notification of any planned outages to the Enterprise Change Control		X
Provide timely written notification of rate changes upon Board of Trustees approval		X

Customer Contacts	
Service Notifications Contact / Distribution List	First Point of Contact Listing
Billing Related Issues Contact / Distribution List	Darren Brooks, Staff Director for OITS Administration
Technical Contact / Distribution List	First Point of Contact Listing
Emergency Outage Contact / Distribution List	First Point of Contact Listing

4 Term and Renewal Conditions

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

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

5 Transfer of Computing Services

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

6 Product / Service Definition

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

Service Provided	Service Category	Attachment

Service Provided	Service Category	Attachment
X	Data Center Management	Attachment 2, Data Center Management Services
X	Mainframe Services	Attachment 3: Mainframe Services
X	Open Systems Platform	Attachment 4: Open Systems Platform Services
X	Storage Management	Attachment 5: Storage Management Services
X	Windows Platform	Attachment 6: Windows Platform Services
X	Disaster Recovery	Attachment 7: Disaster Recovery Services

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

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

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

7 Customer Funding Source

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

8 Service Cost Estimate

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

9 Billing Methodology

Recovery of costs by the Provider will be executed in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal Office of

Management and Budget (OMB) Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service being provided.

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

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

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

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

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

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

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

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

10 Service Rate Adjustment Process

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

11 Service Termination

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

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

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

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

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

12 Service Planning and Review

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

13 Dispute Mediation

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

transmitted to the Customer's authorized representative. Issues(s) will be addressed and resolved in a timely manner.

14 Escalation Process

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

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

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

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

15 Performance Penalties

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

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

16 Change Control Process Adherence

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

Service Desk, that a change as communicated may impact or disrupt Customer business functions.

17 Standard Maintenance Window

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

Mid-Range Maintenance Window

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

Mainframe Maintenance Window

Name	Time	Characteristics
Normal OS Backup, OS Maintenance, and Database Image Copy Window	Friday 2000 – Sat 0400	Normal OS maintenance, OS changes and OS enhancements will be performed during this time.
DMS Network Maintenance Window	Monday 0030 – 0700	Normal network maintenance, changes and system enhancements will be performed by DMS during this time.

18 IT Security Management

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

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

19 Security Incidents

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

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

20 Disaster Recovery

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

21 Continuity of Operations Planning (COOP)

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

22 Provider's Service Desk Operations

The Customer utilizes the Provider's Service Desk which serves as the single point of contact for customer support needs. All requests for services including general service inquiries, incident reports, etc. must be placed through the Provider's Service Desk. The following table provides three methods of contacting the Provider's Service Desk.

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

23 Provider's Service Desk Severity and Incident Escalation

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

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

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

Standard Tier Two Plus Response Times -- By Severity				
	1 -- Critical	2 -- High	3 -- Medium	4 - Low
Platform Support Group	1 Hours	2 Hours	8 Business Hours	3 Business Days
Automatic Escalation to Platform Management	30 Minutes	1 Hour	2 Business Hours	4 Business Hours
Automatic Escalation to Second Level Management	30 Minutes	1 Hour	2 Business Hours	No further escalation
Automatic Escalation to Upper Level Management and notification sent to the NSRC Executive Management	30 Minutes	1 Hour	4 Business Hours	No further escalation
Total Escalation Time	2.5 Hours	5 Hours	2 Business Days	3.5 Business Days

24 Hours of Operation

The Provider's Services Desk provides customer support during normal business hours. Outside of normal business hours calls will be handled by NSRC Computer Operations 7x24x365.

25 Document Change Management

It is mutually understood and agreed that any communications, promises, representations or agreements not included in writing in this agreement shall not be binding upon any party and

that the agreement may not be altered, modified or otherwise changed at any time except with the written consent of each of the parties hereto.

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

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Lori Schultz Lori_Schultz@dcf.state.fl.us	(850) 478-8902
Provider SLA Coordinator	Jennifer H. Stone Jennifer_Stone@nsrc.myflorida.com	(850) 487-8949

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

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

26 Attachment 1. NSRC SERVICE CATALOG

LABOR SERVICES

HOURLY WORK

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

DATA CENTER MANAGEMENT (Attachment #2)

DATA CENTER HOSTING

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

PRINT SERVICES

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

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

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

Service Provided	Platform/Service	Billing Unit/Frequency	Service Description
	Lan VPN	VPN tunnel/ Monthly	access to LAN resources within the NSRC.

NETWORK SERVICES

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

MAINFRAME SERVICES (Attachment #3)

IBM PROCESSING

Service Provided	Platform/Service	Billing Unit/Frequency	Service Description
X	Batch Processing	Per CPU Hour	Batch processing is provided 24/7 on all logical partitions. Jobs are submitted either through a scheduling product or manually by the customer. Batch is halted during special times such as during backups, hardware maintenance and to prevent conflicts with onlines.
	CICS Processing	Per CPU Hour	CICS is used as the transaction manager for some applications. All of the CICS regions are configured similarly. We have CICS applications running against DB2 and VSAM data bases. RACF is the main security provider.
X	DB2 Processing	Per CPU Hour	Provide IBM DB2 database subsystem for customer applications. Access is controlled by RACF security software.
X	IMS Processing	Per CPU Hour	Provide IBM IMS database subsystem for customer applications. Access is controlled by RACF security software.

Service Provided	Platform/Service	Billing Unit/Frequency	Service Description
X	TSO Processing	Per CPU Hour	Access to the mainframe ISPF facility is available through TSO which is active in all environments on a 24/7 basis although there is some restriction during the weekly DASD backups and other scheduled outages. TSO users are required to obtain a RACF controlled security logon ID which grants them system access only to those facilities required for their particular needs and requirements.

UNISYS PROCESSING

Service Provided	Platform/Service	Billing Unit/Frequency	Service Description
X	<ul style="list-style-type: none"> • Batch Processing • On-line Processing 	Per CPU Hour	Batch and Online processing is provided in a Unisys Safe and Secure environment using CANDE and Enterprise Database Server software.

MAINFRAME-MANAGED TAPE STORAGE

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

MAINFRAME-MANAGED SERVICES

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

OPEN SYSTEMS PLATFORM (Attachment #4)

OPEN SYSTEMS APPLICATION HOSTING

Service Provided	Platform/Service	Billing Unit/Frequency	Service Description
X	Managed Server-LINUX	Per Processor - Unit/Monthly	Includes one server unit, hosting at the NSRC, standard server OS, overall health and availability monitoring 24 x 7 x 365, patch management, and

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
			server antivirus.
X	Managed Server-LINUX EOSL Surcharge	20% Surcharge	Surcharge Added to Customer Service charges for utilizing End of Service Life Hardware or Software
X	Managed Server-Oracle Premium	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
X	Managed Server-SQL Server	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
X	Managed Server-UDB Server	Database/ Month	Per customer database, database administrations charges per hour are separately billed.

OPEN SYSTEMS WEB SITE HOSTING

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

STORAGE MANAGEMENT (Attachment #5)

BACKUP SERVICES

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

MANAGED DISK STORAGE

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Tier 1 Disk Storage	Per Gigabyte/ Day	Consists of enterprise-class intelligent Fibre Channel-based storage systems. These disks are high performance, high RPM, cache, RAID protection (usually mirrored), and located within a Storage Area Network (SAN) infrastructure to provide high availability. This storage is usually used for business-critical or high transaction volume applications which require quick response times. Prices may vary

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

WINDOWS PLATFORM (Attachment #6)

HOSTED WINDOWS SERVICES

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

Service Provided	Platform/Service	Billing Unit/Frequency	Service Description
	Surcharge		

DISASTER RECOVERY (Attachment #7)
ALL PLATFORMS

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

27 Attachment 2. Data Center Management

Description of Service

This service provides

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

Data Center Hosting

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

Print Services

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

Network-to-Network Interface (NNI)

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

Network Services

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

Scope

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

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

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
X	Print – Mainframe	Per 1000 Print Lines/Monthly	Pages printed by third party vendor
Communications Ports: Network-to-Network Interface (NNI)			
X	NNI 100 Mb Local	Per 100 Mb Port/Monthly	100 Mb private Local connection without Internet or LAN access within the NSRC
X	NNI 100 Mb DMZ	Per 100 Mb Port/Monthly	1 100Mb connection in NSRC DMZ with public internet access. 1 Gb copper also available if need is justified.
X	NNI IPSEC Lan-Lan VPN	Per defined VPN tunnel/Monthly	1 site to site IPSEC VPN tunnel connection with access to LAN resources within the NSRC.
Other Network Services:			
X	Bandwidth	Per GB Transferred	Bandwidth based on amount of data transferred in/out of the NSRC
X	DNS Domain Hosting	Per Labor Hour	Configuration and hosting of domains housed at NSRC. Domains are either purchased through a domain registrar or subdomain to “state.fl.us” or “myflorida.com”
X	Simple Server Load Balancing	Per Labor Hour	Setup and maintenance of appliance based loadbalancing – round robin or least connections. Connectivity health check.
X	Complex Server Load Balancing	Per Labor Hour	Setup and maintenance of appliance based loadbalancing – layer 4-7 or distributed, including session persistency and health checks.

Service Level Commitment

Print Services

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

Network-to-Network Interface (NNI)

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

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

Time of Occurrence (normal business days)	Description of Maintenance Activities to be Performed
7:00 p.m. – 7:00 a.m.	Only bug fixes and remedies to intolerable conditions, unless within twice monthly maintenance window.

Communications Ports

Other Network Services

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

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

Performance Metrics

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

Deliverables

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

Deliverable	Description	Frequency/ Due Date
Network Availability Report	Report of scheduled and unscheduled downtime events and percentages achieved on a monthly basis, with problem description and resolution information.	Monthly
Print Services Report	Spreadsheet sent to Customer detailing monthly printing, and distribution.	Quarterly

Roles and Responsibilities

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

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

28 Attachment 3. Mainframe Services

Description of Service

This service provides for operation of mainframe applications on the IBM and/or Unisys platform and includes

IBM and Unisys Processing

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

Application Hosting

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

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

Operating System (OS) Management

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

Online Transaction Processing (OLTP)

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

System Database Administration

System-level database administration support includes:

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

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

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

Batch Processing

Batch processing includes:

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

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

Mainframe Managed Tape Storage

Tape storage consists of physical and/or virtual tape cartridges for data used by mainframe applications.

Mainframe Managed Services

Mainframe managed services provide the capability to capture print data from mainframe applications and give the Customer the ability to view print output online.

Scope

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

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
IBM Processing:			
X	Batch Processing	Per CPU Hour	Batch processing is provided 24/7 on all logical partitions. Jobs are submitted either through a scheduling product or manually by the customer. Batch is halted during special times such as during backups, hardware maintenance and to prevent conflicts with onlines.
	CICS Processing	Per CPU Hour	CICS is used as the transaction manager for some applications. All of the CICS regions are configured similarly. We have CICS applications running against DB2 and VSAM data bases. RACF is the main security provider.
X	DB2 Processing	Per CPU Hour	Provide IBM DB2 database subsystem for customer applications. Access is controlled by RACF security software.

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
X	IMS Processing	Per CPU Hour	Provide IBM IMS database subsystem for customer applications. Access is controlled by RACF security software.
X	TSO Processing	Per CPU Hour	Access to the mainframe ISPF facility is available through TSO which is active in all environments on a 24/7 basis although there is some restriction during the weekly DASD backups and other scheduled outages. TSO users are required to obtain a RACF controlled security logon ID which grants them system access only to those facilities required for their particular needs and requirements.
Unisys Processing:			
X	<ul style="list-style-type: none"> • Batch Processing • On-line Processing 	Per CPU Hour	Batch and Online processing is provided in a Unisys Safe and Secure environment using CANDE and Enterprise Database Server software.
Mainframe Managed Tape Storage			
X	IBM Tape Cartridges	Per GB/Daily	Storage of data on tape, both virtual and physical, is provided
X	Unisys Tape Cartridges	Per Tape/Monthly	Storage of data on physical tape is provided
Mainframe Managed Services:			
X	IBM Print Management	Per 1K Print Lines Built	The mainframe provides print software to manage print and have customers view their output online (Dispatch).
X	UNISYS Print Management	Per 1K Print Lines Built	The mainframe provides print software to manage print and have customers view their output online (EOM).

Mainframe Maintenance Window

Name	Time	Characteristics
Online Service Availability Window (Scheduled Availability)	Normal Business Days: Mon - Thurs 0630 - 2000 Fri 0630 - 1900 Sat 1000 - 1700 (the Sat of the first full weekend of the month only)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency change request or through the normal change control process.

	Sat 0800 - 1700 Sun on request if the schedule allows	
Batch Processing Availability Window	Available during all hours when Online Service or System Maintenance / OS Backups / Database Image Copies / Network Maintenance is not scheduled	Normal application maintenance, application changes, and application enhancements will be performed during this time. Notification and approval of expected down time other than normal maintenance windows will be made in change control or by an emergency change request.

Service Level Commitment

IBM and/or Unisys Processing

Customer's application(s) listed below will be available at least 99.5% of scheduled availability. Customer's application(s) will be available according to an agreed-upon standard schedule for each application. Any additional work that is not scheduled with two weeks notice will be considered unscheduled and measured as such.

Application	Category
FSFN (Florida Safe Families Network)	1
FLORIDA (Florida Online Recipient Integrated Data Access)	1
GRANTS (Grants, Revenue Allocation and Tracking)	1
User Accounting	1

Performance Metrics

Service Area	Metric and Standard
IBM and/or Unisys Processing	<p><u>Standard:</u> Mainframe hardware, Mainframe Operating System, Transaction Manager system software, Database Management system software, and Third Party system software will be available 99.5% of scheduled availability.</p> <p><u>Measurement:</u> Actual availability minus unscheduled downtime divided by scheduled availability.</p>

Deliverables

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

Deliverable	Description	Frequency/ Due Date
Application Availability Report	Report of scheduled and unscheduled down time events and percentages achieved on a quarterly basis with problem description and resolution information.	Quarterly

Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Provide logical database designs for hosted applications	X	
Provide information necessary to schedule work	X	
Provide information necessary to determine workload requirements	X	
Provide critical business time zones, such as end of quarter heavy processing time, in order to ensure system availability	X	
List and prioritize any IT requirements	X	
Participate in NSRC Change Control and relevant service outage meetings	X	
Monitor daily operations reports	X	
Review deadlines and priorities for the purpose of mutually agreed upon changes	X	
Notify the Provider's Service Desk for all service related problems	X	
Determine physical database design		X
Purchase and maintain system software		X
Provide system administration and application code promotion		X
Notify Customer regarding Change Control meetings and relevant service outage reviews		X
Develop a work plan reflecting the priorities and completion dates of major projects affecting the platform		X
Review deadlines and priorities for the purpose of mutually agreed upon changes		X
Inform Customer of changes in costs due to changes in rate structure or service		X
Provide monitoring utilities		X

29 Attachment 4. Open Systems Management

Description of Service

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

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

Application Hosting

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

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

Operating System (OS) Management

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

Online Transaction Processing (OLTP)

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

System Database Administration

System-level database administration support includes:

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

In order to ensure all database subsystems and instances perform as efficiently as possible, NSRC database staff must have an opportunity to review and recommend changes to the initial

database design and changes to all databases before moving into user acceptance. The backup and recovery requirements must be documented for each application.

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

Batch Processing

Batch processing includes:

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

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

Scope

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

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

Mid-Range Maintenance Window

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

Service Level Commitment

Open Systems Application Hosting

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

Performance Metrics

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

Deliverables

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

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

Roles and Responsibilities

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

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

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

30 Attachment 5. Storage Management

Description of Service

This service provides backup services and managed disk storage.

Backup Services

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

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

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

Managed Disk Storage

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

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

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

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

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

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

Scope

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

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

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
			for business-critical or high transaction volume applications which require quick response times.

Service Level Commitment

Backup Services

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

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

System	Backup Method	Frequency
FSFN (Florida Safe Families Network	Tape	Weekly Full
FLORIDA (Florida Online Recipient Integrated Data Access)	Tape	Weekly Full
GRANTS (Grants, Revenue Allocation and Tracking)	Tape	Daily – Online
HTGRNT	Tape	Daily – Offline
GBUDDB	Tape	Daily - Offline
User Accounting (ACTDB)	Tape	Daily - Offline
Miscellaneous Systems		
PRODDB	Tape	Daily – Offline
MISDB	Tape	Daily - Online
Tech Support DB's		
BLPACKDB	Tape	Daily – Online
BLSOURCEDB	Tape	Daily – Offline
LOGDB	Tape	Daily – Offline
NEWTAPELIBDB	Tape	Daily – Offline
TPADB	Tape	Daily - Online

Managed Disk Storage

Retrieval from archives will be available based on Customer requests within mutually agreed upon parameters and timeframes. NSRC will not delete Customer data without written consent from Customer. NSRC will provide Tier 2 Disk Storage performance management and 24x7 monitoring of the storage environment. At any time disk space utilization exceeds 80%, the NSRC will notify DCF. NSRC will provide a capacity review of CPU, memory, and disk space utilization at each quarterly service planning and review meeting

Performance Metrics

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

Deliverables

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

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

Roles and Responsibilities

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

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

Inform Customer of changes in costs due to changes in rate structure or service		X
Review deadlines and priorities for the purpose of mutually agreed upon changes		X
Provide monitoring utilities		X

31 Attachment 6. Windows Platform

Description of Service

This service provides for operation of applications on the Windows platform and includes:

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

Application Hosting

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

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

Operating System (OS) Management

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

Online Transaction Processing (OLTP)

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

Batch Processing

Batch processing includes:

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

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

Scope

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

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
------------------	-----------------------	------------------------	---------------------

Hosted Windows Services:			
X	Managed Server – Windows	Per Server-Unit/Monthly	Includes one server unit, high availability / stateful failover configuration (virtual servers only), hosting at the NSRC, basic network connectivity, standard server OS, overall health and availability monitoring 24 x 7 x 365, patch management, server antivirus, basic FTP, basic web, etc.
	Managed Server- Windows EOSL Surcharge	20% Surcharge	Surcharge Added to Customer Service charges for utilizing End of Service Life Hardware or Software

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

Mid-Range Maintenance Window

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

Service Level Commitment
Hosted Windows Services

Performance Metrics

Service/Area	Metric and Standard
Managed Server - Windows	<p><u>Standard:</u> Applications will be available 99.5% of scheduled uptime.</p> <p><u>Measurement:</u> Actual availability minus unscheduled downtime divided by scheduled availability.</p>

Deliverables

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

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

Roles and Responsibilities

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

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

32 Attachment 7. Disaster Services

Description of Service

This service provides disaster recovery capabilities to ensure that critical systems hosted at the NSRC remain operational during a disaster by providing an alternate site to host and operate these systems. Recovery services will include periodic testing of offsite recovery facilities and processes.

Disaster recovery is only applicable when/if NSRC declares a disaster. NSRC defines a disaster as "...any outage of normal computer processing capabilities to Customers."

Events covered by the NSRC disaster recovery plan include:

- Fire in the building;
- Environmental control outages in the building, such as electrical, water or air conditioning;
- Computer equipment failures such as interruption of application system processing capabilities, multiple database failures, or multiple production program failures; and/or
- Weather related disasters such as hurricanes, lightning, or severe storms.

Scope

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

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

Service Level Commitment

Disaster Recovery

NSRC will test disaster recovery services at least annually at the alternate recovery site. Customers with services that will be provided at the alternate site will participate in the planning and execution of the test. Portions of the plan may be tested locally and will not require prior notice to Customers. All tests will be evaluated and documented.

Performance Metrics

Service Area	Metric and Standard
Disaster Recovery	<p><u>Standard:</u> 100% of all disaster recovery tests will be evaluated and documented.</p> <p><u>Measurement:</u> Number of tests executed that were evaluated and documented divided by number of tests executed.</p>

Deliverables

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

Deliverable	Description	Frequency/ Due Date
Disaster Recovery Report	Written document detailing testing completed, outcome of tests performed, lessons learned, and issues to be.	Annually

Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Provide information necessary to plan work and workload requirements	X	
Provide sufficient staff to participated in disaster recovery testing as needed	X	
Develop and publish disaster recovery plan for NSRC		X
Develop annual plan for testing disaster recovery plan		X
Execute annual alternate site testing		X
Inform Customer of changes in costs due to changes in rate structure or service		X

Attachment 8. Member Agency Specifics

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

1. On an annual basis, in conjunction with the annual legislative budget request cycle, the Provider will perform and document a formal capacity analysis of all of the Customer's platforms. For all proposed budget issues requiring an increase in NSRC services, the NSRC will provide cost estimate analysis on a timely basis and will request funding to support customer needs associated with proposed customer enhancements.
2. The following issues will require further discussion, resolution and documentation prior to inclusion in this Service Level Agreement. Both the Department of Children and Families and the Northwood Shared Resource Center staff are committed to resolving these issues no later than December 31, 2010. Upon resolution of all issues the agreement will be updated.

The issues needing resolution are:

- Specific information related to capacity planning, including migration issues related to applications running on platforms with operating systems that are no longer supported (20% End of Service Life surcharge), archiving, and long range forecasting.
 - Process to identify and initiate utilization of and billing for "professional services."
 - Collection of application-specific data and resolution of defects from the "Provider web scan" for applications that were grand fathered in to the NSRC at its inception.
 - Interaction between DCF and NSRC for COOP execution
 - Customized disaster services to be provided to DCF after the NSRC has completed contract negotiations currently under way.
3. NSRC staff will complete all security forms required by DCF including but not limited to Form CF 114, Security Agreement Form.
 4. The Department of Children and Families is the actual service provider of the "Provider's Service Desk" and those services will be provided and billed as agreed upon in the current Memorandum of Understanding.


*Service Level Agreement
Signature Authorization*

Department of Children and Families:

Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

Date

Northwood Shared Resource Center:



James Stewart, Interim Executive Director
Northwood Shared Resource Center

8/17/10
Date


*Service Level Agreement
Signature Authorization*

Department of Children and Families:


Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

Date

Northwood Shared Resource Center:



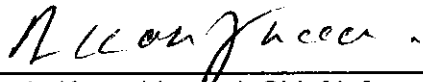
James Stewart, Interim Executive Director
Northwood Shared Resource Center



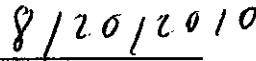
Date

*Service Level Agreement
Signature Authorization*

Department of Children and Families:

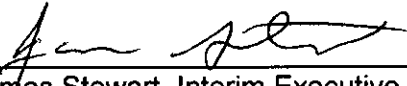


Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

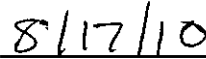


Date

Northwood Shared Resource Center:



James Stewart, Interim Executive Director
Northwood Shared Resource Center



Date



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families
Child Care Training

And

The Southwood Shared Resource Center

Co-location Services

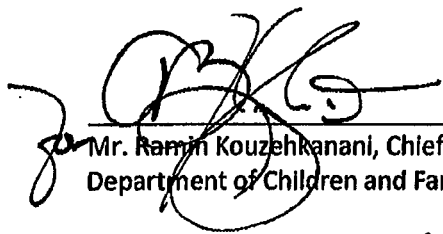
SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Co-location Services

Signature Authorization

Department of Children and Families:



Mr. Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

7-15-10
Date

Child Care
Director


Additional Customer Signature (Name, Title)

7/26/10
Date

Southwood Shared Resource Center:



John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date

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Glossary of Terms

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

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

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

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider’s Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	
Billing Related Issues Contact / Distribution List	
Technical Contact / Distribution List	

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

Co-location Services are hosted through the Southwood Shared Resource Center (SSRC) facility and consist of Raised Floor Services and Rack Mount Services. Each of these services provide redundant network and power components for continuous availability of service, industry standard security controls; and 24x7 staffing, maintenance, and operations.

Scope of Work

Raised Floor Services

Provides a physically secure footprint for a customer owned cabinet within the SSRC computer room that utilizes under floor cable management and is monitored 24X7. This service consumes floor tiles.

Note: The SSRC has two (2) raised floor areas. These areas are certified Tier III and non-certified Tier II. The classifications for Tiers are as follows:

- **Tier III data center is concurrently maintainable and has redundant capacity components and multiple independent distribution paths serving the computer equipment. The suggested utilization of this floor space should be critical production systems that need to be available 24 x 7.**
- **Tier II data center has redundant capacity components and a single, not-redundant distribution path serving the computer equipment. The suggested utilization of this floor space should be test and development equipment.**

A Floor Tile is a 2' X 2' tile used as the unit of measurement on the Computer Room raised floor at the SSRC. A standard single paramount cabinet occupies 2 tiles and a tower of cool occupies 3 tiles. Mandatory front and back access to the cabinet utilize 2 additional Floor Tiles. Total minimum fees for a standard single paramount cabinet is 4 floor tiles and minimum fees for a tower of cool is 5 Floor Tiles. A percentage of floor tile used shall be rounded up to the nearest Floor Tile.

The standard single cabinets listed above consume four (4) or five (5) Floor Tiles and includes one (1) 30 AMP – 208V (2) pole circuit. If, redundant power is requested or required by the customer the customer will be responsible for the installation cost of new circuit (s) and any additional monthly recurring charges at the current fiscal year rate per pole. Cabinet should not exceed 1.25 kW per title. Any cabinet exceeding 5 kW will be charged additional floor space. Circuits are monitored for current, voltage and power. Unused receptacles are disabled to avoid overloading circuits.

The standard cabinets utilized by the SSRC are Wrightline Paramount Enclosures or Wrightline Tower of Cool (TOC's). The standard color is NuGrey. Exceptions to the standard cabinet must be approved in advance prior to installation.

Cabinets must:

- Lock (front and back) with a set of keys provided to the SSRC;
- Provide for Power and Cable Management;
- Provide rack mount laptop(s) as Control Unit(s)(KVM's)
- Adequately ventilate to prevent overheating (fan units).

Data center requirements assure proper cooling for any cabinet located within the facility, the temperature within a cabinet is the responsibility of the Customer. Internal temperature monitoring systems with remote paging capabilities are suggested if the Customer requires monitoring of internal cabinet temperatures.

The Provider recommends that the Customer space equipment properly such that ventilation is not hampered.

All equipment installations will be done in accordance with the current version of the following codes:

- NFPA 101 - Life Safety Code
- NFPA 75 - Standard for the Protection of Information Technology Equipment
- NFPA 70E - Standard for Electrical Safety in the Workplace"
- NFPA 70 - National Electrical Code
- NFPA 72 - National Fire Alarm Code

Any equipment installations that do not meet these requirements may be forbidden in the SSRC. We reserve the right to shutdown any piece of customer owned /operated equipment that we deem to be faulty, unsafe, or that places our operation at risk. The SSRC will work with our customers on any non-emergency issues that may arise.

Rack Mount Services

Provide a physically secured 19" standard cabinet for customer owned equipment within the SSRC. Servers must be rack mountable. The standard rack mount unit measurement is one (1) Rack Unit = 1U or 1.75". KVM (monitor units with Keyboard, Video, and Mouse) units are provided for Customer use; if the Customer requires an independent control unit then the unit must be a fold down rack mount KVM approved by the Provider. Control units shall be assessed fees related to size. Independent Control Unit cables are not provided by the SSRC. The Customer shall provide and install all hardware for the rack mount (server rails are not included in SSRC fees).

Two (2) power strip receptacles (one primary and one backup) within the cabinet are provided per Rack Unit. Power is supplied to each cabinet from two (2) separate Power Distribution Units that are each fed from separate Uninterruptible Power Supply systems. Additional fees may apply to additional receptacles.

Service Description

Specific Roles and Responsibilities

Roles and responsibilities will only relate to those services offered by the Provider and its Contractors on resources owned and/or managed by the Provider. Roles and Responsibilities

would not relate to services that are performed by Customer’s internal information technology (IT) section or other designated staff on Customer property.

Service Responsibilities	Customer	Provider
Continuously review and evaluate security procedures		X
Monitor all areas of the SSRC 24 hours a day		X
Authorize identified persons with access to computer room before admission		X
Verify that all cabinets within the computer room are locked when not being accessed		X
Ensure a staff member is assigned to receive and inspect any equipment received		X
Assign data center staff for cleaning all secure areas of the facility		X
Ensure only authorized personnel access restricted areas		X
Ensure redundant facility components through tests		X
Customers must supply the following before entering the computer room <ol style="list-style-type: none"> 1. Have proper authorization from their agency to access their equipment 2. Have a security record and photo identification on file 3. Be prepared to show proper identification 4. Be escorted under certain conditions (All vendors are escorted) 	X	
Notify the SSRC Computer Operators of deliveries	X	
Submit proper forms (as identified) for equipment installation, removal, and changes <ol style="list-style-type: none"> 1. Submit an Equipment Installation Request Document (Attachment 1) before any equipment is brought into the facility including the delivery of equipment 2. Completed Equipment Installation Request document are to be returned to Computer Operations at the SSRC 3. If all required information is not provided, installation of Customer equipment may be delayed 4. Submit an Equipment Removal / Transfer document (Attachment 2) before any equipment is removed from the facility 5. Must submit a CSA form to SUNCOM for SSRC ports to be installed 	X	
Ensure all hardware for installation is accurately inventoried	X	
Provide and install the hardware for the rack mount	X	
Ensure a list of those requiring access to the equipment is submitted to the SSRC Computer Operators and is kept up-to-date	X	
Follow Computer Room Operational Guidelines (Attachment 3) <ol style="list-style-type: none"> 1. The customer is responsible for adhering to all Computer Room Operational Guidelines as set forth in the Attachment 3. Failure to comply with these Guidelines may lead to termination of this Agreement and the subsequent removal of Customer equipment at the SSRC. Compliance with Computer Room Operational Guidelines is determined at the discretion of the SSRC Manager. 	X	

The SSRC maintains the following standards in support of the co-location service offerings:

Power Management

Power redundancy for the Tier III floor is supplied to IT equipment through two (2) 500 KVA and two (2) 80 KVA Uninterruptible Power Supply (UPS) Systems that are backed up by (2) 1000 kW generators. Power redundancy for the Tier II floor is supplied to IT equipment through one (1)

Scalable 225-500 KVA Uninterruptible Power Supply (UPS) that is backed up by one (1)1000 kW generator. Generators are activated in the case of a primary power feed interruption. In the event of a prolonged power interruption (more than 1 week) agencies will be billed a prorated charge for fuel. (Please note to date the SSRC has not sustained an outage in duration of more than 12 hours.) The UPS Systems provide clean power through continuous monitoring and filtering reducing the RF, EMI, and other line noise that can degrade power. Static Switches and Power Distribution Units provide for efficient use of power delivery to the Customer cabinet. Power and temperature thresholds are continuously monitored, providing early detection of emerging failures. Thermal scans are performed monthly to circumvent problems and potential power failures.

Additional Circuit Installation

New installation of standard one (1) 30 AMP – 208V (2) pole circuit shall be assessed a onetime fee for materials. Additional circuits or larger circuits may be purchased at an additional cost.

Note: For the safety of computer operators, individual / independent Rack Mount UPS systems are not allowed in the SSRC Computer Room. Redundant power for Customer equipment is only available if the installed Customer equipment has multiple internal power supplies.

HVAC System

Monthly service includes HVAC system redundancy for the SSRC Computer Room Floor. This redundant system includes multiple chillers from a central plant and two pumps within the facility for continued water circulation and is further supported by two (2) 200-ton stand alone back up chillers located at the SSRC. There are additional outside connections for a portable emergency chiller.

Security and Safety

Network surveillance cameras monitor areas inside and out of the facility.

Network Services

The customer shall be responsible for ordering and canceling the required network port/s and connections that will be utilized for their equipment at the SSRC. This shall be done by submission of a Communications Service Authorization (CSA) form into the on-line CSA system at the following URL.

<http://fvrs.state.fl.us/onlinecsa/app/homepage>

The standard network port connection is via one RJ45, Cat5E cable per customer owned device. Any exceptions to this standard must be approved by the Provider. At no point shall a secured network connection and an unsecured (DMZ) address be permitted on the same device. All connections shall be set to auto speed and auto duplex unless requested by the customer and approved by the Provider.

Services per Port consist of Internet and State Intranet access, back-up network, monitoring and on-site staff to troubleshoot the network and network security services such as firewall configuration and intrusion detection services.

Equipment requiring Gigabit Ethernet speeds will be evaluated for technical feasibility on a case-by-case basis and approved by the Provider prior to installation. The Network Engineering and Deployment group will be responsible for providing Gigabit Ethernet Switch connections as needed within the Southwood Shared Resource Center.

Any analog voice grade circuits required for dial up or diagnostic services shall be ordered by the customer separately through the CSA process. To avoid installation delays the customer must notify the SSRC communications group with a circuit I.D. and phone numbers 48 hours prior to installation date.

Network Cable Requirements and Standards

Compliance with the SSRC network cable standards is mandatory to install and maintain equipment at the SSRC. Cables shall be supplied and installed by the Provider or in accordance with SSRC guidelines. At no time shall any cabling work be performed by anyone other than the Provider or without the express consent of the Provider.

All cabling materials shall meet the following standards:

Copper Jumper Cables

The only authorized copper jumper cables to be installed within the SSRC are:

Manufacturer: Ortronics

Description: Cable Assembly Mod Cat5E
Four pair stranded copper
T568A/B pin configuration

Color Code: Red – Standard data connections only
Blue – T-1 circuits only
Green – Voice circuits only
White – Cross-over cables only (T568A to T568B)

Length: Standard cable lengths: 3', 5', 7', 9', 15', 20', and 30'

Exceptions: Longer cable lengths than those listed above are special order and may lengthen the installation process.

NOTE: Per NFPA 70 - All Cabling That Runs Under the Raised Floor Shall Be **Plenum Rated**

Fiber Jumper Cables

The only authorized fiber jumper cables to be installed within the SSRC are:

Manufacturer: Corning Siecor

Description:	Single-mode Fiber	Multi-mode Fiber
	Duplex SC-SC	Duplex SC-SC
	8.3 micron	62.5 micron

Colors: Standard Yellow Standard Orange

Lengths: Standard cable lengths (meters):
1, 2, 3, 4, 5, 7, 10, and 15

Exceptions: Longer cable lengths than those listed above and other connectors than SC to SC are Special order and may lengthen the installation process.

Patch Panels – Copper Cable

All patch panels within the SSRC shall be Ortronics only.

Fiber Interconnect Cabinets

All Fiber Interconnect Cabinets (FICS) shall be Corning only.

Performance Measures

Customer’s Co-location Service will be available at least 99.5% of scheduled availability.

Calculation Methodologies:

Service availability =
Scheduled availability (Minutes) - Reported out-of-service time (Minutes)
Scheduled Availability

Out-of-service:

Defined as the time from receipt of problem notification involving the service outage of a production system, until the time of resolution as reported by the Provider (Days/Hours/Minutes).

Measurement Period: Monthly

Tracking Mechanisms:

The Provider will use industry standard system monitoring tools and techniques to monitor availability, and alert staff of system outages.

System Availability Monitoring

System availability is monitored on an on-going basis, with immediate alerts sent to support staff when systems are detected as being down.

Rate Information

All Provider current rate information is available on the Provider's web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html Requests for services beyond those outlined may be billed to the Customer at the listed Professional Services Rate.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts

promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider's authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider’s SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer’s performance under this agreement shall be documented by the Provider and transmitted to the Customer’s SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

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

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level

of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers' business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer's business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer's business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

Group	Standard Tier Two Plus Response Times – By Severity			
	1 – Critical	2 – High	3 – Medium	4 - Low
Total Escalation Time	2.5 Hours	5 Hours	2 Business Days	3.5 Business Days

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Carrie D. Cole	(941) 486-2575
Provider SLA Coordinator	John A. Morden	(850) 488-5236



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Southwood Shared Resource Center

Backup Services

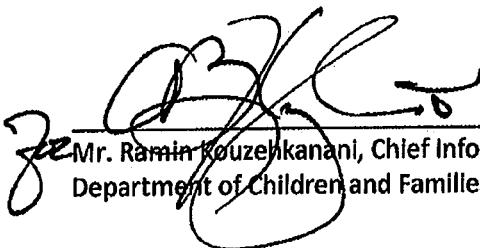
SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Backup Services

Signature Authorization

Department of Children and Families:

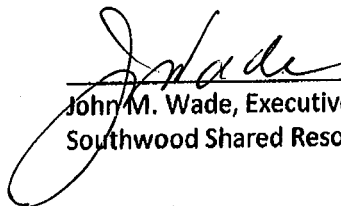

Mr. Ramin Kouzenkanani, Chief Information Officer
Department of Children and Families

7-15-10
Date


Additional Customer Signature (Name, Title)

7/26/10
Date

Southwood Shared Resource Center:


John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date

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Glossary of Terms

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

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

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

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider’s Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	
Billing Related Issues Contact / Distribution List	
Technical Contact / Distribution List	

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

Backup services provide customers with an online system for backing up and storing computer files. This system uses a client base software program that runs on a schedule, typically once a day. The software collects, compresses, encrypts and transfers the data to a remote device such as disk, tape, CD or DVD.

Scope of Work

Backup services provide critical risk mitigation against the potential of hardware, system, or data integrity failure with Off-site storage of backup data. The Provider is responsible for ensuring all hardware and software is in proper working order. Backup failures as the result of

network or server configuration changes will not be the responsibility of the Provider. Backup services are charged a standard gigabyte per day rate based on storage allocation or gigabyte per day based on a full backup.

Service Description – Backup

The Backup Service provides a daily backup of data for all contracted devices. It allows for full weekly backups with daily backups taken on an incremental basis. The backup service includes an archive of the monthly full backups for a three year period. Backup services are typically performed in a Disk-to-Disk-to-Tape (DDT) process configuration. Backups are cloned to tape for off-site storage daily to reduce the risk associated with data loss in the event something happens to the facility or hardware. The Provider has implemented and maintains high quality backup software for managing the backup process and reporting on issues encountered. Restoration of data due to hardware, system, or data integrity failure is managed by the same backup software to ensure a successful restore to allow a back-to-business result.

Backup Archives

Archiving is the process of storing backed up data on tape for an extended period of time. The archive process is fully managed such that data is retained on tape, with a copy being stored at an off-site facility.

Standard Backup and Retention Definition

Standard backup processing consists of disk-to-disk-to-tape processing on a daily basis. Incremental backups (changed data only) are taken 6 days per week, and full backups are taken one day per week. Data is stored in an on-line/near-line (disk/tape) location until policy retention expires. Standard backups will be maintained for a six (6) week period. Backup data is cloned to tape for on-site and off-site storage. Retention associated with the 6-week backup schedule allows backup space to be recycled.

This service includes the archival of three (3) years of monthly full backups to be stored at an off-site location. Upon customer request LTO tapes can be provided for non-scheduled customer storage for additional fees.

Alternative backup and retention schedules are available to meet specific customer requirements for an additional charge.

The standard backup schedule and retention are as follows:

Backup Schedule	
Type	Frequency
Incremental Backup	Daily
Full Backup	Weekly

Full Backup for Archive	Monthly
-------------------------	---------

Retention Schedule	
Type	Frequency
Tape	1 Monthly Full Backups
	6 Full Weekly Backups
Archives	36 Monthly Full Backups (Monthly's maintained for 3 Years)

When new services are developed for backup and data restoration, the Provider will review the new services with the Customer. This agreement will be amended for any and all agreed upon changes.

Roles and Responsibilities

Roles and responsibilities only relate to those services offered by the Provider and resources owned and/or managed by the Provider. Roles and Responsibilities do not relate to services that are performed by Customer’s internal information technology (IT) section or other designated staff on Customer property.

Specific Roles and Responsibilities are defined in the following responsibility matrix. Each responsibility associated with the service is described and the owner of the responsibility is included. A “P” indicates Primary ownership of the responsibility; an “A” indicates an Assist responsibility.

Service Responsibilities	Customer	Provider
Identify any special backup schedule or retention periods which differ from SLA	P	A
Perform application testing following Provider patch services	A	P
Maintain Server/Service security; Comply with FL Administrative Code 60DD-2 with respect to server, network and service security		P
Monitor Services 24 hours a day x 7 days a week		P
Perform nightly backups and Monthly archive backups		P
Ensure all backup processes are accurately and timely completed		P
Inform Customers of scheduled change activity		P
Inform Customers of incidents or issues		P

Performance Measures

The Backup Server will be available at least 99.5% of scheduled availability and provide 95.0% success rate on production data set backups. The table listed in Section 15 shows the scheduled availability and maintenance windows for potential non-availability.

Calculation Methodologies:

Service availability:

$$\frac{\text{Scheduled availability (Minutes)} - \text{Reported out-of-service time (Minutes)}}{\text{Scheduled Availability}}$$

Out-of-service:

Defined as the time from receipt of problem notification involving the service outage of a production system, until the time of resolution as reported by the Provider (Days/Hours/Minutes).

Successful backup rate:

$$\frac{\text{Number of successful data set backups}}{\text{Number of attempted data set backups}}$$

Measurement Period: Monthly

Tracking Mechanisms:

The Provider will use industry standard system monitoring tools and techniques to monitor availability, and alert staff of system outages.

System Availability Monitoring

System availability is monitored on an on-going basis, with immediate alerts sent to support staff when systems are detected as being down.

Rate Information

All Provider current rate information is available on the Provider’s web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html Requests for services beyond those outlined may be billed to the Customer at the listed Professional Services Rate.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When

combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

Customer and Provider prior to travel. All State of Florida travel forms and receipts must be submitted as supporting documentation prior to travel being paid by the Customer.

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider’s authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider’s SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer’s performance under this agreement shall be documented by the Provider and transmitted to the Customer’s SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
-------	----------	----------

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

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

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change

		request.
<i>Normal IT Maintenance Window</i>	<p>Business Days: 6:00PM – 6:59AM (EST)</p> <p>Saturday and Sunday: All day</p>	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	<p>Business Days: 8:00AM – 5:00PM (EST)</p>	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	<p>Monday 12:30AM – 7:00AM (EST)</p>	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements

for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers’ business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer’s business.	5 Hours

Severity	Defined Severity	Description	Maximum Response Times
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer’s business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Ms. Carrie D. Cole	(941) 486-2575
Provider SLA Coordinator	John A. Morden	(850) 488-5236

**FLORIDA SOUTHWOOD SHARED RESOURCE CENTER
AGENCY IMPACT ANALYSIS BY SERVICE (Cycle 5)**

FY 2010 FORECASTED COSTS VS. FY 2011 FORECASTED COSTS

Sorted by Agency

Agency	Services Restated	(A) FY 09-10 Original Estimated Costs	(B) FY 10-11 Estimated Costs
DCF	Additional Electrical Circuit		266.52
	Backup Service	21,492.22	
	Backup Storage		23,554.95
	Communications Ports	8,001.12	-
	Distributed Mirrored Disk Stor (Tier 2)		620.32
	Distributed Unmirrored Disk Stor (Tier 3)	976.76	
	Managed Windows Server	48,752.80	
	Open Systems Net Based Service	2,257.17	1,516.08
	Oracle Prem Managed Server	117,481.58	24,204.84
	Shared Transitional Service		17,669.45
	SRC Rack Mounts	18,661.37	10,321.08
	UNIX Managed Services	57,292.61	19,570.33
	Windows Managed Servers		-
DCF Total		274,915.63	97,723.57

4/8/2010

(C)

\$ Difference B-A	% Difference C/A
266.52	100.00%
(21,492.22)	-100.00%
23,554.95	100.00%
(8,001.12)	-100.00%
620.32	100.00%
(976.76)	-100.00%
(48,752.80)	-100.00%
(741.09)	-32.83%
(93,276.74)	-79.40%
17,669.45	100.00%
(8,340.29)	-44.69%
(37,722.28)	-65.84%
(177,192.05)	-64.45%



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Southwood Shared Resource Center

Open Systems Net Service

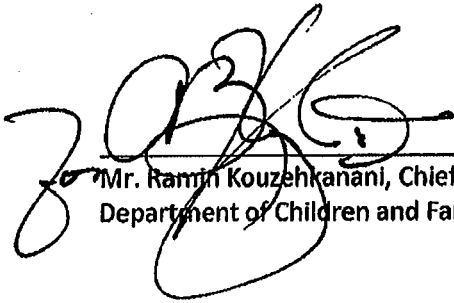
SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Open Systems Net Service

Signature Authorization

Department of Children and Families:



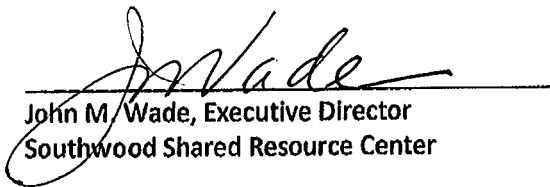
Mr. Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

7-15-10
Date

DBusso, Child Care Director
Additional Customer Signature (Name, Title)

7/26/10
Date

Southwood Shared Resource Center:



John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date

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Glossary of Terms

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

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

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

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider’s Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	
Billing Related Issues Contact / Distribution List	
Technical Contact / Distribution List	

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

The Provider Open Systems Network Service provides Customers the opportunity to host their web, FTP and web based applications on Provider provisioned infrastructure within the Shared Resource Center. The hardware, operating system, and network infrastructure is fully managed by the Provider, and system availability is monitored 24 hours a day. DBMS services are available for database hosted information content.

Scope of Work

The Provider is responsible for ensuring all web, FTP and web application related systems are in proper working order. Hardware and software failures which occur within the Provider’s domain shall not be the responsibility of the Customer. Time spent by the Provider configuring,

managing or performing security response to Customer supplied applications will be charged at the published Professional Services rate. See below for further rate information.

Service Description

This service offering is for information content delivery via web sites, web applications, FTP, SSH, SFTP, PGP and SSL services. Web sites which utilize web applications that generate more than an average of 100 add/change/delete transactions per day are considered OLTP web-based applications. For hosting needs of OLTP Web-based applications, the Provider offers a dedicated backend database server management service (Oracle, MySQL and SQLServer) in conjunction with the Provider Open Systems Net Based service that provides computing resources for higher-end application processing.

Some of the benefits of hosting network sites/applications with the Provider include:

- Fully managed hardware, operating system, network infrastructure and OS based security;
- Web/FTP/Application services include multi-server redundant load balanced servers, providing high availability. Web servers are available 24x7. All service downtime is scheduled during maintenance time zones (see below) and is limited, planned, and communicated;
- MySQL, Oracle and SQL Server backend database options available;
- Hardened, high quality Tier III data center facility with redundant power and multiple levels of security;
- Access to web logs for user analysis;
- Support for SSH, SFTP and FTP server access;
- Backup/Recovery – Web, FTP and application site data is backed up daily to ensure recovery at the Shared Resource Center due to hardware or system failure. Oracle DB services are logged and archived;
- Development/Test sites and services; available for full application life cycle management;

Subscription Plan

Provider Open Systems Net Based services are available as a Customer selectable set of applications supported by the Provider Open Systems group. Customers may customize the application set they wish to utilize allowing for a great deal of service flexibility. The Provider Open Systems Network Service itemizes and aggregates the Customer’s application request into a “network unit” number and then bills a standard monthly fee based on the number of units requested.

Application	Notes on included	Units of Measure	Network
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			Unit
Apache web access	HA HTML, PHP, Perl, Ruby Rails, see http://oas.state.fl.us/portal/page?_pageid=73,1,73_7108&_dad=portal&_schema=PORTAL for a full list of supported modules	Per 1 GB of Disk Storage or 30 GB of Data transfer	1
WordPress Content Management Site	Customer Managed HA WordPress web publishing/content management site. Perfect for blogs and easy site maintenance. More info available at WordPress.org .	Per 1 GB of Disk Storage or 30 GB of Data transfer Also requires purchase of MySQL database access	1
SSRC Ruby Rails Content Management Site	Customer Managed HA Web site content management system built in Ruby Rails. An example site is SSRC.myflorida.com	Per 1 GB of Disk Storage or 30 GB of Data transfer Also requires purchase of MySQL database access	1
Development/QA/Test Site for any of the above	Additional Sites are available	Per site May require additional MySQL or database access	1
SSL Encryption (Internal Provider system)	HA F5 based SSL services; *.myflorida.com and *.state.fl.us wildcard certificate use included; additional certificates are customer responsibility	Per SSL enabled site resident on Provider managed servers	1
Oracle Connectivity	HA Oracle PLSQL, PHP for Oracle, Oracle APEX, Oracle iAS server DAD; .NET is supported with the Provider Windows group	Per 1 database connection or 30 GB of Data transfer per month	1
MySQL (non-OLTP database)	Maximum data size 1 GB	Per DB Schema up to 250MB	1
Oracle (non-OLTP database)	Maximum data size 2 GB	Per DB Schema up to 500MB	2
Oracle iAS Forms	HA Application	Per Forms Application	2
Oracle iAS Reports	HA Application	Per Reports Application	2
J2EE	HA Oracle based J2EE services	Per J2EE Application	2
Oracle Discoverer	HA Application	Per Discover Application	4
Oracle Portal Builder	HA Application	Per Portal Builder Site	1
Development/QA/Test Site for any of the Oracle application services	Additional Sites are available	Per site May require additional Oracle database access	1
Single Sign-On / LDAP	HA Oracle SSO / LDAP system	Per Web enabled single sign-on/LDAP Application	1
Web Subversion (Code management)	Web based HA Source Control code management system	Per Subversion service	1
Git (Code management)	Provides remote HA service with daily backups and 3yr data archive. Currently supported via the git-svn	Requires the above HA Subversion enabled service and freeware git-svn client	0

	SVN client		
FTP access	HA chrooted FTP account with up to 2 sub-accounts per Network Unit	Per 4 GB of Disk Storage or 40 GB of Data transfer per month	1
PGP encryption/decryption	Requires FTP access	Per PGP enabled FTP account	3
Nagios Monitoring	Access to customer configurable Nagios development server	Per 250 configured monitors	5
Port Forwarding to External Customer system or network	HA F5 based port forwarding services (no SSL service)	Per 100 connection limit	9
SSL Encryption (External Customer system)	HA F5 based SSL services; *.myflorida.com and *.state.fl.us wildcard certificate use included; additional certificates are customer responsibility	Per 100 connection limit	10
Bulk Outgoing E-Mail support	Includes one (1) reply address per application; Virus checking is not included	Per 100,000 e-mails per application	2
Disaster Recovery Services	Includes use of SSRC Hot Standby DR Services; Additional charges for the services supplied via DR will also be assessed. Additional hourly charges may be assessed for setup and testing.	Per Application	1
End of Service Life Software or Hardware	Any CUSTOMER requiring EOL or EOSL software or hardware will be assessed an additional fee	Per Application	1

Additional development and QA sites are available.

Oracle Application code (e.g. J2EE Ear files, Oracle Forms and Reports) must be moved to its production site location by the Provider’s Service administrators. Requests for production application posting are accomplished through the Provider’s Service Desk.

Additional information on supported versions and customized software modules supported can be found on the Service Provider’s web site.

http://oas.state.fl.us/portal/page?_pageid=73,1,73_6958&_dad=portal&_schema=PORTAL

Service Specific Roles and Responsibilities

Roles and responsibilities only relate to those services offered by the Provider and resources owned and/or managed by the Provider. Roles and Responsibilities do not relate to services that are performed by Customer’s internal information technology (IT) section or other designated staff on Customer property.

Specific Roles and Responsibilities are defined in the following responsibility matrix. Each responsibility associated with the service is described and the owner of the responsibility is included. A “P” indicates Primary ownership of the responsibility; an “A” indicates an Assist responsibility.

Service Responsibilities	Customer	Provider
Manage disk space, data transfer, etc. within the predefined storage limits by subscription	P	
Register Domain Names as necessary	P	A
Purchase SSL Certificates as necessary; from supported SSL services	P	
Perform Web site and application modifications, testing, and troubleshooting as necessary when notified by Provider of the need to move to supported hardware or newer supported versions of system software	P	A
Maintain Customer application code; Comply with FL Administrative Code 60DD-2 with respect to Customer application security and logical separation of test and production services	P	
Maintain Server/Service security; Comply with FL Administrative Code 60DD-2 with respect to server, network and service security		P
Monitor Services 24x7		P
Perform nightly backups and Monthly archive backups		P
Inform Customers of scheduled change activity		P

Service Supported Task Matrix

Some example tasks and their estimated number of business days required to perform assuming that all server, software, licensing and data required to perform the task is available. Times of 1 day mean same day service. Some tasks must be scheduled in advance with the Provider. It is the Customers responsibility to confirm scheduling with the Provider before planning any service changes.

Standard Tasks	Std Lead Time	Critical Lead Time	Schedule Required	Description
Web Site Provisioning	2	1	N	HTML based web service
Deploy J2EE Ear/War file	3	1	N	
Deploy to Production or QA	3	1	N	

new versions of Oracle Forms and Reports				
Port forwarding	5	3	Y	Provider must comply with DMS-DivTel firewall change management procedures
SSL Certificate deployment	5	3	Y	Provider must comply with DMS-DivTel firewall change management procedures
Provision Schema for new RDBMS application	5	3	Y	
Enable APEX/Discoverer support for a Customer RDBMS	2	1	N	
Nagios Monitoring	5	4	Y	Provider must comply with DMS-DivTel firewall change management procedures

The Customer is encouraged to contact the Provider for further scheduling information.

Performance Measures

The Provider is committed to meeting a minimum yearly service up time of 99.5%. The web service is architected to meet this requirement through the use redundant servers, storage, F5 content switches and networking. Those applications designated as HA in the Subscription Plan table are configured to support 99.9% availability requirements. Oracle, MySQL and SQL Server RDBMS dependant services will require an HA backend database to achieve this uptime. Additional DR services may be purchased separately.

Service Maintenance

Application	
Apache web access	Monthly OS security patches Quarterly Apache version update, no scheduled downtime
SSL Encryption	Quarterly F5 security patches, no scheduled downtime
Oracle Connectivity	Quarterly Oracle security patches, no scheduled downtime
MySQL (non-OLTP database)	Quarterly version update, downtime scheduled between 6PM Friday and 6PM Sunday
Oracle (non-OLTP database)	Quarterly Oracle security patches, downtime scheduled between 6PM Friday and 6PM Sunday
Oracle iAS Forms	Monthly OS and Quarterly Oracle security patches, no scheduled downtime

Oracle iAS Reports	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
J2EE	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Oracle Discoverer	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Oracle Portal Builder	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Single Sign-On / LDAP	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Web Subversion (Code management)	Monthly OS security patches, no scheduled downtime
FTP access	Monthly OS security patches, no scheduled downtime
PGP encryption/decryption	Monthly OS security patches, downtime scheduled between 6PM Friday and 6PM Sunday
Nagios Monitoring	Quarterly OS security patches, downtime scheduled only during business hours

Rate Information

All Provider current rate information is available on the Provider’s web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html Requests for services beyond those outlined may be billed to the Customer at the listed Professional Services Rate.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider’s authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider’s SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer’s performance under this agreement shall be documented by the Provider and transmitted to the Customer’s SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

Services are provided solely on a cost recovery basis. Any costs associated with established penalties would have to be recovered through rates charged for services. Federal OMB Circular No. A-87 requires equitable cost allocation for services to customer agencies. For these reasons the Provider cannot establish direct or indirect financial penalties for not meeting service level

targets. However, the Provider may report to the Board of Trustees their success in meeting service levels for each service provided, and identify and speak to any shortfalls.

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP

activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers’ business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer’s business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer’s business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Martha McKown	
Provider SLA Coordinator	John A. Morden	(850) 488-5236



Southwood Shared Resource Center

SHARED TRANSITIONAL SERVICE SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Southwood Shared Resource Center

Shared Transitional Service

SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Shared Transitional Service

Signature Authorization

Department of Children and Families:

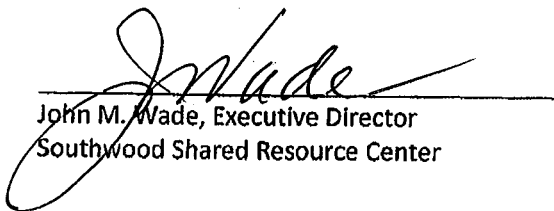

Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

7-15-10
Date


Additional Customer Signature (Name, Title)

7/26/10
Date

Southwood Shared Resource Center:


John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date



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Glossary of Terms

TERM	DEFINITION
Agency for Enterprise Information Technology (AEIT)	A State of Florida agency charged with developing strategies for the design, delivery, and management of enterprise information technology services; monitoring delivery and management of those services; and establishing rules and policies for managing those services.
Addendum	Subsequent amendments to this Service Level Agreement (SLA) which formalize additional Customer specific requirements. Section 6 will be revised to reference any Addendums. Organizationally, Addendums shall immediately follow the base SLA and Amendments.
Amendment	Formal statement of any changes made to the initial Southwood Shared Resource Center (SSRC) SLA. Customer specific requirements which have been identified as Amendments are referenced in Section 6. Organizationally, Amendments shall immediately follow the base SLA.
Attachment	Additional information provided to clarify or assist Provider in meeting terms of this SLA. Section 6 will be revised to reference any Attachments. Organizationally, Attachments shall immediately follow the base SLA, Amendments, and Addendums.
Business Day	The SSRC business hours are 8:00 am EST Monday through 6:00 pm EST Friday, excluding State holidays.
Change Control Board	A board that meets regularly to review all desired and planned IT platform changes to evaluate impact to Customers and ensure proper Customer communication.
Customer	Customer shall mean those “state parties” or “parties” as defined in Section 282 and Section 216.011(1)(gg), Florida Statutes and those “public bodies” or “political subdivisions” as defined in Section 1.01(8) and Section 252.34(8), Florida Statutes.
Customer Service Matrix	The Customer Service Matrix contains a list of FST customer servers, devices, and appliances that will be supported by the SSRC under the STS definition. The matrix defines the particular service to the particular device.

TERM	DEFINITION
Full Service Transition (FST)	The legislative initiative mandating the transfer of agency managed equipment housed at the SSRC to the control and management by the SSRC as of July 1, 2010.
Full Service Transition Customer	An agency that has taken part in the Full Service Transition.
Incident	Any request for service through the SSRC Services Desk – includes general service inquiries, incident reports, invoice discrepancy reviews, etc.
Parties	Authorized representative of both the Provider and the Customer.
Professional Services	Additional technical services not included in a Service Level Agreement. These services include, but are not limited to, Information Technology (IT) consulting, research, strategic planning, architectural design, implementation, migration assistance, security response, and issue resolution.
Provider	The Southwood Shared Resource Center (SSRC).
Service Change	A service change is defined as any change to hardware, software, network environment, etc., which directly affects the production environment within the SSRC. All service changes must be reviewed by the Change Control Board.
Service Change – Emergency	An Emergency Service Change is one that must be made in less than 24 hours.
Service Change Management	Change Control procedures necessary to affect a service change, ensuring communication with Customers and the least amount of risk for service disruption.
Service Level Agreement (SLA)	A formal agreement pursuant to Section 282.203, Florida Statutes, entered into by the Provider and the Customer that outlines the description of a service(s), the service level targets, costs, and the Provider and Customer responsibilities in delivering and receiving service(s) from the Provider.
Service Response	Provider action taken in response to a Customer’s Incident.

TERM	DEFINITION
Standard Platform Managed Services	Standard Platform Services are services identified in the SSRC Services Catalog that provide infrastructure related support services to SSRC customers on the following platforms: Windows, Storage, Mainframe, Network, and Open Systems. These services typically include system monitoring, support services, hardware refresh, and license costs into a single utilization-based rate to recover the cost of common services performed.
Shared Transitional Service (STS)	The service was born out of the FST initiative, and is based on actual work performed and billed at an hourly Professional Services rate. The service reflects a shared approach to service delivery to satisfy the FST legislative requirements between the SSRC (provider) and the participating agencies (customers), and differs from Standard Managed Services in the nature, scope and consistency of services offered.
SSRC Services Desk	The Customer’s first point of contact for service requests, problem resolution, invoicing discrepancies and other service related issues.
Southwood Shared Resource Center (SSRC)	A full-service, information-processing facility offering hardware, software, operations, networking, and co-location services. Also referred to as the Southwood Data Center.
SSRC Board of Trustees	Board created by Section 282.203, Florida Statutes and appointed by the agency head or chief executive officer of the representative Customer entities.

1 Statement of Purpose

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

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

2 Legal Authority

Florida law requires the finalization of a SLA between the Southwood Shared Resource Center and each customer entity for each service provided by the SSRC pursuant to Section

282.203(1)(g) and Section 282.203(3)(e)2., Florida Statutes. Under certain circumstances, the failure of a customer entity to execute an agreement may result in the SSRC ceasing services pursuant to Section 282.203(1)(g)3., Florida Statutes.

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

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

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

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

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

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

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

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

In accordance with Section 287.134, Florida Statutes, the Provider will not enter in to a contract with an entity or affiliate who has: been placed on the discriminatory vendor list; may not submit a bid, proposal, or reply on a contract to provide any goods or services to a public entity; may not submit a bid, proposal, or reply on a contract with a public entity for the construction

or repair of a public building or public work; may not submit bids, proposals, or replies on leases of real property to a public entity; may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and may not transact business with any public entity.

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	X	
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	X	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	X	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	X	
Provide timely notification of changes to the Provider’s Change Control Board	X	
Provide prompt payment for services rendered	X	
Provide and maintain a list of Change Control Board Members		X
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		X
Provide timely notification of any service changes		X
Provide timely notification of any planned outages		X

Customer Contacts	
Service Notifications Contact / Distribution List	carrie_cole@dcf.state.fl.us
Billing Related Issues Contact / Distribution List	carrie_cole@dcf.state.fl.us
Technical Contact / Distribution List	carrie_cole@dcf.state.fl.us

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

Scope of Work

The Shared Transitional service provides for the use of dedicated equipment to the Full Service Transition Customer preparing to migrate into standard Platform services. The Provider and Customer are responsible for ensuring the overall health and availability of the hardware, operating system, standard application services, basic network connectivity and security of the equipment. This is a transitional service, designed to provide “as-is” services (as identified and budgeted during the FST Data Collection effort) for a limited time frame, while FST Customers migrate to the standard platform services. Per the intent of FST, application management is the responsibility of the Customer. This SLA Service Description includes the following and the attached Customer Service Matrix.

Service Description

Shared Transitional services encompass all previously provisioned Customer hardware, system software, monitoring systems, backups and storage administration located within and transferred to the SSRC during Full Service Transition. This service includes any administrative support relating to the transitioned software and equipment. The Shared Transitional service will support equipment and services for a limited time frame, not to exceed a three (3) year time frame.

The Shared Transitional service provides hourly billing for all technical activities performed by SSRC staff. Other billable service activities include, but are not limited to research, training, security, documentation and project management activities required to support the Customer.

After hours and on-call support is available for all transitioned equipment and services. Customers must identify what equipment and services on the Customer Service Matrix which are to be covered and may provide the SSRC with automated alerts or contact the SSRC help desk to report incidents. Additional billable charges for on-call support and after hour’s rates will apply.

Specific roles and responsibilities are defined in the attached Customer Service Matrix. Each responsibility associated with the service is described and the owner of the responsibility is included.

Service Responsibilities	Customer	Provider
Operating System Security and Administration		X
Server Management and Administration		X
Server Connectivity to Wide Area Network (as provided by Customer)		X

prior to FST)		
Server Operating System License Purchase and Maintenance (Pass through)		X
Adhere to Provider Change Management procedures	X	X
Perform logical database user administration and application code tuning	X	
Perform physical database administration		X
Perform application testing following Provider patch services	X	
Application management	X	
Use Provider Service Desk for all service needs	X	
Purchase and maintain application licenses and maintenance	X	

Performance Measures

The Shared Transitional service provides performance at the levels as designated through the budgeted transfer by the transitioning Customers. This level will be determined by each Customer agency in the Customer Service Matrix. Monthly tracking of expenditure for service delivery will be supplied to the Customer. Customers may adjust the service activity level based on this information.

System Availability Monitoring

System availability is monitored via the Customer transitioned monitoring tools. Systems and services without a transitioned monitoring system need to extend their alerts to Provider. Customer maintenance windows are defined within the Customer Service Matrix.

Service Response

The Provider’s Service Desk is the first point of contact for all Customers. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, should be placed through the Services Desk by contacting 850-487-1746 or 866-693-5873 (for Outside Tallahassee). Requests of lower severity can be submitted to the Services Desk via email at Help@ssrc.myflorida.com.

Rate Information

The Shared Transitional service rate information is available on the Provider’s web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider's authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider's SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer's performance under this agreement shall be documented by the Provider and transmitted to the Customer's SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

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

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Customer Service Matrix, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday, Sunday and State Holidays: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider

responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Customer Service Matrix Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
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Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers’ business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer’s business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer’s business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Ms. Carrie D. Cole	(941) 486-2575
Provider SLA Coordinator	John A. Morden	(850) 488-5236

24 Index of Attachments

Customer Service Matrix.....Attachment A



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Southwood Shared Resource Center

Windows Managed Server

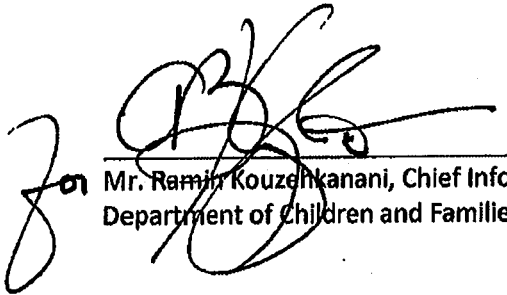
SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Windows Managed Server

Signature Authorization

Department of Children and Families:



Mr. Ramin Kouzehkanani, Chief Information Officer
Department of Children and Families

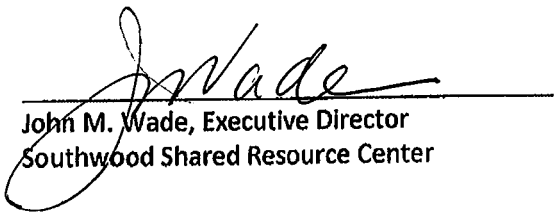
7-15-10
Date



Additional Customer Signature (Name, Title) Director

7/26/10
Date

Southwood Shared Resource Center:



John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date

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Glossary of Terms

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

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

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

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider’s Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	carrie_cole@dcf.state.fl.us
Billing Related Issues Contact / Distribution List	Debby_Russo@dcf.state.fl.us
Technical Contact / Distribution List	carrie_cole@dcf.state.fl.us

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

Scope of Work

The Managed Windows Server service provides for the use of fully managed dedicated servers for Customer processing. The Provider is responsible for ensuring the overall health and availability of the hardware, operating system, standard application services and basic network connectivity. A complete Service Description follows.

Service Description

Windows Managed Servers are typically provisioned as virtual servers within the Provider’s high availability SAN-connected VMware Farm.

The Managed Windows Server service includes one Server Unit, defined as two virtual processor (vCPUs), two Gigabytes of memory, and 25 Gigabytes of disk storage. Upsizing processing and memory capacity require the purchase of additional Server Units. Additional storage can be added regardless of the number of Server Units purchased. Clients do not have administrative access to the server.

Server Unit	Detail
Processor	2 physical or VMware virtual processors
Memory	2 Gigabytes RAM
Disk Storage	25 Gigabytes
Feature	Detail
Anti-Virus Software	Trend Micro
Server Operating System License	Windows Server 2008 Standard Edition
Server Patch Management	Scheduled (In-Band) and Emergency (Out-of-Band)
Server Health and Availability Monitoring	Automated with incident notification, 24 x 7 x 365
Basic Network Connectivity	100 MB connection
Basic FTP Service	Internet Information Services
Basic Web Service	Internet Information Services
Basic Database Service	SQL Server Express Edition
High Availability	VMware stateful failover
High Availability	Hosting in a Tier III Certified Data Center

The Managed Windows Server Offering requires a Storage and Backup/Recovery SLA at an additional charge. Backups are performed per the standard schedule as outlined in the Backup Service SLA.

Due to added maintenance costs, power consumption, cooling requirements and operational necessities, Customers who require physical servers will be assessed an additional 20% monthly surcharge.

Specific Roles and Responsibilities are defined in the following responsibility matrix. Each responsibility associated with the service is described and the owner of the responsibility is included. A “P” indicates Provider ownership of the responsibility; a “C” indicates Customer responsibility.

Service Responsibilities	Customer	Provider
Operating System Installation and Configuration		P
Server Management and Administration		P
Server Availability and Monitoring		P
Server Backup and Recovery (Separate SLA Required)		P
Server Connectivity to Wide Area Network		P

Server Patch Management and Maintenance		P
Server Operating System License Purchase and Maintenance		P
Notify Customer of planned and emergency outages		P
Application Management	C	
Notify Provider Service Desk of all Service Needs	C	
Notify Provider Service Desk of all Service Problems	C	
Purchase and Maintain Application licenses	C	

Performance Measures

The Managed Server will be available at least 99.5% of scheduled availability. The following table shows the scheduled availability and maintenance windows for potential non-availability. These windows are referred to as ‘Zones’.

Time zones listed below are Eastern Standard Time Zones (EST)

Zone Name	Zone Time	Zone Characteristics
<i>Service Availability Zone (Scheduled Availability)</i>	Normal Business Days: 7:00AM – 6:00PM	This is scheduled availability. Production systems cannot be purposefully brought down or impacted without an emergency change request.
<i>Corrective Zone</i>	Normal Business Days: 6:00PM – Midnight	Only bug fixes and remedies to intolerable conditions will be performed during this zone. Notification will be provided to customers.
<i>Normal Maintenance Zone</i>	Normal Business Days: Midnight – 7:00AM Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 6:00PM on non-Normal Business Days (weekends and holidays) will be provided to customers.

Note: For SSRC Network Infrastructure Systems, the Normal Maintenance Zone is Monday morning from Midnight until 7:00AM. An emergency change request is required for any changes occurring between Friday at 6:00PM and Sunday at 11:59PM. No changes are performed between Monday at 7:00AM and Friday at 6:00PM.

Calculation Methodologies:

Service availability:

Scheduled availability (Minutes) - Reported out-of-service time (Minutes)

Scheduled Availability

Out-of-service:

Out of service will be defined as the amount of time from receipt of problem notification involving the service outage of a production system, until the time of resolution as reported by the Provider (Days/Hours/Minutes).

Measurement Period: Monthly

Tracking Mechanisms:

The Provider will use industry standard system monitoring tools and techniques to monitor availability, and alert staff of system outages.

System Availability Monitoring

System availability is monitored on an on-going basis, with immediate alerts sent to support staff when service interruptions or degradations are detected.

Service Response

The Provider's Service Desk serves as the first point of contact for all Customers. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, should be placed through the Services Desk by contacting 850-487-1746 or 866-693-5873 (for Outside Tallahassee). Requests of lower severity can be submitted to the Services Desk via email at Help@ssrc.myflorida.com.

Note: The Provider makes available dedicated servers for both production servers and test and development servers. Unless specifically requested, servers identified as test or development are *not* monitored 24 x 7 and are not included in uptime metrics. Response to issues within the test or development platform is limited to regular business work hours unless arrangements are made in advance.

Rate Information

The Managed Windows Server rate is a monthly recurring expense for each established Server Unit, plus pass-through licensing charges for customer requested software add-ons. *The* calculated per unit charge is based upon a double step-down cost recovery model that factors in hardware and software costs, maintenance subscriptions, staff time and facility costs, among other cost components.

All Provider current rate information is available on the Providers website located at the following URL: http://ssrc.myflorida.com/price_sheet.html.

In addition to the monthly recurring Managed Windows Server charge, the following will apply:

Service Setup Fee - for time spent in excess of one hour establishing client environment, if required (based on actual time spent by staff and billed at the Professional Services rate)

License fee (pass-through), if required ***

Additional support services beyond the scope of this agreement, if requested (based on actual time spent by staff and billed monthly at the Professional Services rate). Examples include (but

are not limited to) security incident response, code review, database management, and issue troubleshooting

Additional storage and backup, if requested (based on utilization)

Customers may leverage any Provider negotiated license agreements (Service Level Provider Agreements, Enterprise Agreements, Partner Programs, etc.) on a cost-recovery basis or provide Proof [of License at the time the application is](#) installed. Applications offered under the Provider's Microsoft SPLA agreement are billed monthly based on utilization. Charges for non-SPLA software will vary based on the nature of the product license, its structure, cost and utilization.

For more information, please see the Billing Methodology section.

Any work performed by the Provider that is not included in scope of the Service Description defined above will be billed to the Customer at the Professional Services rate. This includes, but is not limited to, custom application troubleshooting, code review, data gathering for public records requests, investigation and remediation of unauthorized access or hacking, and architectural and design consulting. The Provider reserves the right to limit the number of code promotion and charge Professional Services fees if Customer test and development processes are not managed and time spent becomes unreasonable or extreme. Every effort will be made to make the Customer aware of billable situations in advance of work done; however advance notice is not required to the extent services provided are identified here.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider’s authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider’s SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer’s performance under this agreement shall be documented by the Provider and transmitted to the Customer’s SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

Services are provided solely on a cost recovery basis. Any costs associated with established penalties would have to be recovered through rates charged for services. Federal OMB Circular No. A-87 requires equitable cost allocation for services to customer agencies. For these reasons the Provider cannot establish direct or indirect financial penalties for not meeting service level

targets. However, the Provider may report to the Board of Trustees their success in meeting service levels for each service provided, and identify and speak to any shortfalls.

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP

activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers’ business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer’s business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer’s business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Ms Carrie D. Cole	(850) 486-2575
Provider SLA Coordinator	John A. Morden	(850) 488-5236



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Southwood Shared Resource Center

Open Systems Net Service

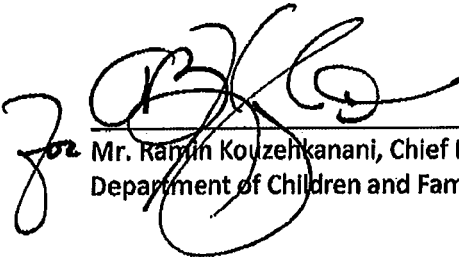
SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Open Systems Managed Service

Signature Authorization

Department of Children and Families:

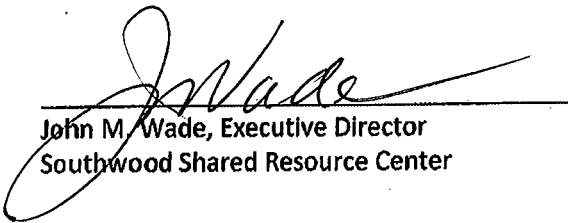

Mr. Ramin Kouzenkanani, Chief Information Officer
Department of Children and Families

7-15-10
Date

NRusso, Child Care Director
Additional Customer Signature (Name, Title)

7/26/10
Date

Southwood Shared Resource Center:


John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date

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Glossary of Terms

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

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

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

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider’s Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	
Billing Related Issues Contact / Distribution List	
Technical Contact / Distribution List	

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

The Provider Open Systems Network Service provides Customers the opportunity to host their web, FTP and web based applications on Provider provisioned infrastructure within the Shared Resource Center. The hardware, operating system, and network infrastructure is fully managed by the Provider, and system availability is monitored 24 hours a day. DBMS services are available for database hosted information content.

Scope of Work

The Provider is responsible for ensuring all web, FTP and web application related systems are in proper working order. Hardware and software failures which occur within the Provider’s domain shall not be the responsibility of the Customer. Time spent by the Provider configuring,

managing or performing security response to Customer supplied applications will be charged at the published Professional Services rate. See below for further rate information.

Service Description

This service offering is for information content delivery via web sites, web applications, FTP, SSH, SFTP, PGP and SSL services. Web sites which utilize web applications that generate more than an average of 100 add/change/delete transactions per day are considered OLTP web-based applications. For hosting needs of OLTP Web-based applications, the Provider offers a dedicated backend database server management service (Oracle, MySQL and SQLServer) in conjunction with the Provider Open Systems Net Based service that provides computing resources for higher-end application processing.

Some of the benefits of hosting network sites/applications with the Provider include:

- Fully managed hardware, operating system, network infrastructure and OS based security;
- Web/FTP/Application services include multi-server redundant load balanced servers, providing high availability. Web servers are available 24x7. All service downtime is scheduled during maintenance time zones (see below) and is limited, planned, and communicated;
- MySQL, Oracle and SQL Server backend database options available;
- Hardened, high quality Tier III data center facility with redundant power and multiple levels of security;
- Access to web logs for user analysis;
- Support for SSH, SFTP and FTP server access;
- Backup/Recovery – Web, FTP and application site data is backed up daily to ensure recovery at the Shared Resource Center due to hardware or system failure. Oracle DB services are logged and archived;
- Development/Test sites and services; available for full application life cycle management;

Subscription Plan

Provider Open Systems Net Based services are available as a Customer selectable set of applications supported by the Provider Open Systems group. Customers may customize the application set they wish to utilize allowing for a great deal of service flexibility. The Provider Open Systems Network Service itemizes and aggregates the Customer’s application request into a “network unit” number and then bills a standard monthly fee based on the number of units requested.

Application	Notes on included	Units of Measure	Network
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			Unit
Apache web access	HA HTML, PHP, Perl, Ruby Rails, see http://oas.state.fl.us/portal/page?_pageid=73,1,73_7108&_dad=portal&_schema=PORTAL for a full list of supported modules	Per 1 GB of Disk Storage or 30 GB of Data transfer	1
WordPress Content Management Site	Customer Managed HA WordPress web publishing/content management site. Perfect for blogs and easy site maintenance. More info available at WordPress.org .	Per 1 GB of Disk Storage or 30 GB of Data transfer Also requires purchase of MySQL database access	1
SSRC Ruby Rails Content Management Site	Customer Managed HA Web site content management system built in Ruby Rails. An example site is SSRC.myflorida.com	Per 1 GB of Disk Storage or 30 GB of Data transfer Also requires purchase of MySQL database access	1
Development/QA/Test Site for any of the above	Additional Sites are available	Per site May require additional MySQL or database access	1
SSL Encryption (Internal Provider system)	HA F5 based SSL services; *.myflorida.com and *.state.fl.us wildcard certificate use included; additional certificates are customer responsibility	Per SSL enabled site resident on Provider managed servers	1
Oracle Connectivity	HA Oracle PLSQL, PHP for Oracle, Oracle APEX, Oracle iAS server DAD; .NET is supported with the Provider Windows group	Per 1 database connection or 30 GB of Data transfer per month	1
MySQL (non-OLTP database)	Maximum data size 1 GB	Per DB Schema up to 250MB	1
Oracle (non-OLTP database)	Maximum data size 2 GB	Per DB Schema up to 500MB	2
Oracle iAS Forms	HA Application	Per Forms Application	2
Oracle iAS Reports	HA Application	Per Reports Application	2
J2EE	HA Oracle based J2EE services	Per J2EE Application	2
Oracle Discoverer	HA Application	Per Discover Application	4
Oracle Portal Builder	HA Application	Per Portal Builder Site	1
Development/QA/Test Site for any of the Oracle application services	Additional Sites are available	Per site May require additional Oracle database access	1
Single Sign-On / LDAP	HA Oracle SSO / LDAP system	Per Web enabled single sign-on/LDAP Application	1
Web Subversion (Code management)	Web based HA Source Control code management system	Per Subversion service	1
Git (Code management)	Provides remote HA service with daily backups and 3yr data archive. Currently supported via the git-svn	Requires the above HA Subversion enabled service and freeware git-svn client	0

	SVN client		
FTP access	HA chrooted FTP account with up to 2 sub-accounts per Network Unit	Per 4 GB of Disk Storage or 40 GB of Data transfer per month	1
PGP encryption/decryption	Requires FTP access	Per PGP enabled FTP account	3
Nagios Monitoring	Access to customer configurable Nagios development server	Per 250 configured monitors	5
Port Forwarding to External Customer system or network	HA F5 based port forwarding services (no SSL service)	Per 100 connection limit	9
SSL Encryption (External Customer system)	HA F5 based SSL services; *.myflorida.com and *.state.fl.us wildcard certificate use included; additional certificates are customer responsibility	Per 100 connection limit	10
Bulk Outgoing E-Mail support	Includes one (1) reply address per application; Virus checking is not included	Per 100,000 e-mails per application	2
Disaster Recovery Services	Includes use of SSRC Hot Standby DR Services; Additional charges for the services supplied via DR will also be assessed. Additional hourly charges may be assessed for setup and testing.	Per Application	1
End of Service Life Software or Hardware	Any CUSTOMER requiring EOL or EOSL software or hardware will be assessed an additional fee	Per Application	1

Additional development and QA sites are available.

Oracle Application code (e.g. J2EE Ear files, Oracle Forms and Reports) must be moved to its production site location by the Provider’s Service administrators. Requests for production application posting are accomplished through the Provider’s Service Desk.

Additional information on supported versions and customized software modules supported can be found on the Service Provider’s web site.

http://oas.state.fl.us/portal/page?_pageid=73,1,73_6958&_dad=portal&_schema=PORTAL

Service Specific Roles and Responsibilities

Roles and responsibilities only relate to those services offered by the Provider and resources owned and/or managed by the Provider. Roles and Responsibilities do not relate to services that are performed by Customer’s internal information technology (IT) section or other designated staff on Customer property.

Specific Roles and Responsibilities are defined in the following responsibility matrix. Each responsibility associated with the service is described and the owner of the responsibility is included. A “P” indicates Primary ownership of the responsibility; an “A” indicates an Assist responsibility.

Service Responsibilities	Customer	Provider
Manage disk space, data transfer, etc. within the predefined storage limits by subscription	P	
Register Domain Names as necessary	P	A
Purchase SSL Certificates as necessary; from supported SSL services	P	
Perform Web site and application modifications, testing, and troubleshooting as necessary when notified by Provider of the need to move to supported hardware or newer supported versions of system software	P	A
Maintain Customer application code; Comply with FL Administrative Code 60DD-2 with respect to Customer application security and logical separation of test and production services	P	
Maintain Server/Service security; Comply with FL Administrative Code 60DD-2 with respect to server, network and service security		P
Monitor Services 24x7		P
Perform nightly backups and Monthly archive backups		P
Inform Customers of scheduled change activity		P

Service Supported Task Matrix

Some example tasks and their estimated number of business days required to perform assuming that all server, software, licensing and data required to perform the task is available. Times of 1 day mean same day service. Some tasks must be scheduled in advance with the Provider. It is the Customers responsibility to confirm scheduling with the Provider before planning any service changes.

Standard Tasks	Std Lead Time	Critical Lead Time	Schedule Required	Description
Web Site Provisioning	2	1	N	HTML based web service
Deploy J2EE Ear/War file	3	1	N	
Deploy to Production or QA	3	1	N	

new versions of Oracle Forms and Reports				
Port forwarding	5	3	Y	Provider must comply with DMS-DivTel firewall change management procedures
SSL Certificate deployment	5	3	Y	Provider must comply with DMS-DivTel firewall change management procedures
Provision Schema for new RDBMS application	5	3	Y	
Enable APEX/Discoverer support for a Customer RDBMS	2	1	N	
Nagios Monitoring	5	4	Y	Provider must comply with DMS-DivTel firewall change management procedures

The Customer is encouraged to contact the Provider for further scheduling information.

Performance Measures

The Provider is committed to meeting a minimum yearly service up time of 99.5%. The web service is architected to meet this requirement through the use redundant servers, storage, F5 content switches and networking. Those applications designated as HA in the Subscription Plan table are configured to support 99.9% availability requirements. Oracle, MySQL and SQL Server RDBMS dependant services will require an HA backend database to achieve this uptime. Additional DR services may be purchased separately.

Service Maintenance

Application	
Apache web access	Monthly OS security patches Quarterly Apache version update, no scheduled downtime
SSL Encryption	Quarterly F5 security patches, no scheduled downtime
Oracle Connectivity	Quarterly Oracle security patches, no scheduled downtime
MySQL (non-OLTP database)	Quarterly version update, downtime scheduled between 6PM Friday and 6PM Sunday
Oracle (non-OLTP database)	Quarterly Oracle security patches, downtime scheduled between 6PM Friday and 6PM Sunday
Oracle iAS Forms	Monthly OS and Quarterly Oracle security patches, no scheduled downtime

Oracle iAS Reports	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
J2EE	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Oracle Discoverer	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Oracle Portal Builder	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Single Sign-On / LDAP	Monthly OS and Quarterly Oracle security patches, no scheduled downtime
Web Subversion (Code management)	Monthly OS security patches, no scheduled downtime
FTP access	Monthly OS security patches, no scheduled downtime
PGP encryption/decryption	Monthly OS security patches, downtime scheduled between 6PM Friday and 6PM Sunday
Nagios Monitoring	Quarterly OS security patches, downtime scheduled only during business hours

Rate Information

All Provider current rate information is available on the Provider’s web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html Requests for services beyond those outlined may be billed to the Customer at the listed Professional Services Rate.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider’s authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider’s SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer’s performance under this agreement shall be documented by the Provider and transmitted to the Customer’s SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

Services are provided solely on a cost recovery basis. Any costs associated with established penalties would have to be recovered through rates charged for services. Federal OMB Circular No. A-87 requires equitable cost allocation for services to customer agencies. For these reasons the Provider cannot establish direct or indirect financial penalties for not meeting service level

targets. However, the Provider may report to the Board of Trustees their success in meeting service levels for each service provided, and identify and speak to any shortfalls.

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP

activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers’ business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer’s business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer’s business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Martha McKown	
Provider SLA Coordinator	John A. Morden	(850) 488-5236



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of Children and Families

And

The Southwood Shared Resource Center

Managed Disk Services

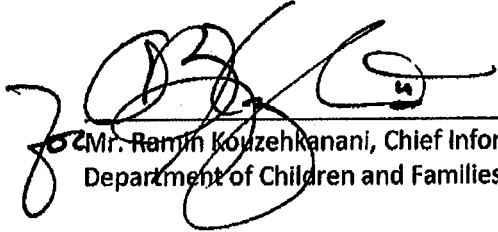
SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Managed Disk Services

Signature Authorization

Department of Children and Families:



Mr. Ramtin Kouzehkanani, Chief Information Officer
Department of Children and Families

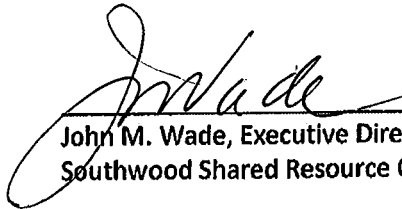
7-15-10
Date



Additional Customer Signature (Name, Title)

7-26-10
Date

Southwood Shared Resource Center:



John M. Wade, Executive Director
Southwood Shared Resource Center

8/3/10
Date

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Glossary of Terms

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

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

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

1 Statement of Purpose

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

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

2 Legal Authority

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

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

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

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

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

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

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

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

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

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

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

3 Roles and Responsibilities

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

Service Responsibilities	Customer	Provider
Utilize the Provider’s Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider’s Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	
Billing Related Issues Contact / Distribution List	
Technical Contact / Distribution List	

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

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

6 Product / Service Description

Managed Storage Services allows customers to acquire storage for a multitude of purposes: OLTP database processing, data warehousing, FTP space, production and test application space, recovery testing, etc. that is fully managed and monitored to ensure consistent availability.

Scope of Work

This service provides tiered storage depending on the customer’s storage requirements. All storage types are fully managed, monitored for availability, and further defined below. The service includes storage provisioning within Storage Area Network (SAN) disk space and direct attached disk devices, management of storage allocations, capacity management, performance

management, and 24x7 monitoring of the storage environment. In addition, on-site personnel perform remote monitoring on managed storage environment.

Customer benefits include:

- Quality, dedicated attention to storage technology and implementation
- Multiple levels of storage to meet customer needs
- Low cost through volume offering and implementation
- Freeing of customer technical resources to focus on other business and technology issues
- Supports business continuity requirements;
- RAID 1, RAID 5, RAID 6 and RAID 10 (Redundant Arrays of Independent Disks) availability
- Ease of scalability with fast additional space allocation
- Temporary disk storage allocation for tests and upgrades (when sufficient space is available).

Service Description – Managed Disk

Tier 1 Storage

Tier 1 storage consists of enterprise-class intelligent Fibre Channel-based storage systems. These disks are high performance, high RPM, cache, RAID protection (usually mirrored), and located within a 4 gigabit SAN infrastructure to provide high availability. This storage is usually used for business-critical or high transaction volume applications which require quick response times. Charges are assessed based on allocated gigabytes per day and RAID configuration.

Tier 1 / Non-Mirrored

Tier 1 storage is reliable RAID 5 storage with “hot” spares ready to takeover for failing disk on a 4 gigabit storage network.

Tier 1 / Mirrored

Tier 1 mirrored storage is configured using RAID 1 or RAID 10 with “hot” spares ready to takeover for failing disk on a 4 gigabit storage network.

Tier 2 Storage

Tier 2 storage is Fibre Channel-based disk, with RAID protection, and either provisioned within the enterprise storage system, or virtualized into modular-class storage system. Servers could be running data warehouses, or other business important transaction applications. Charges are assessed based on allocated gigabytes per day and RAID configuration.

Tier 2 / Non-Mirrored

Tier 2 storage is reliable RAID 5/6 storage with “hot” spares ready to takeover for failing disk.

Tier 2 / Mirrored

Tier 2 mirrored storage is configured using RAID 1 or RAID 10 with “hot” spares ready to takeover for failing disk.

Tier 3 Storage

Tier 3 storage is high-density Serial ATA (SATA) disk with RAID protection, could be either Fibre Channel-based, iSCSI or locally attached storage. This storage is low performance, suitable for static web pages, file shares, tape replacement or archive media. Charges are assessed based on allocated gigabytes per day and RAID configuration.

Tier 3 / Non-mirrored Storage

Tier 3 storage is reliable RAID 5/6 storage with “hot” spares ready to takeover for failing disk.

Tier 3 / Mirrored Storage

Tier 3 mirrored storage is configured using RAID 1 or RAID 10 with “hot” spares ready to takeover for failing disk.

Backup Services

Storage Management Services requires the Backup Service to ensure recoverability due to hardware, system, or data integrity failure. The Backup Service will be charged as a separate line item to ensure the protection of all data. The Backup Service and associated rate is further described in the Backup Service SLA.

Disaster Recovery

Disaster Recovery for Managed Storage Services, which provides alternate equipment and facilities, is available at an additional cost. Without Disaster Recovery Services, the Customer is limited to services outlined in this agreed upon SLA(s).

Specific Roles and Responsibilities

Roles and responsibilities only relate to those services offered by the Provider and resources owned and/or managed by the Provider. Roles and Responsibilities do not relate to services that are performed by Customer’s internal information technology (IT) section or other designated staff on Customer property.

Specific Roles and Responsibilities are defined in the following responsibility matrix. Each responsibility associated with the service is described and the owner of the responsibility is included. A “P” indicates Primary ownership of the responsibility; an “A” indicates an Assist responsibility.

Service Responsibilities	Customer	Provider
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Manage Customer provided application	P	
Perform application testing following Provider patch services	A	P
Maintain Server/Service security; Comply with FL Administrative Code 60DD-2 with respect to server, network and service security		P
Monitor Services 24x7		P
Inform Customers of incidents or issues		P
Inform Customers of scheduled change activity		P

Performance Measures

Customer’s Storage Management Service will be available at least 99.5% of scheduled availability.

Calculation Methodologies:

Service availability:

$$\frac{\text{Scheduled availability (Minutes)} - \text{Reported out-of-service time (Minutes)}}{\text{Scheduled Availability}}$$

Out-of-service:

Defined as the time from receipt of problem notification involving the service outage of a production system, until the time of resolution as reported by the Provider (Days/Hours/Minutes).

Measurement Period: Monthly

Tracking Mechanisms:

The Provider will use industry standard system monitoring tools and techniques to monitor availability, and alert staff of system outages.

System Availability Monitoring

System availability is monitored on an on-going basis, with immediate alerts sent to support staff when systems are detected as being down.

Rate Information

All Provider current rate information is available on the Provider’s web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html Requests for services beyond those outlined may be billed to the Customer at the listed Professional Services Rate.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

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

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

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

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

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

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

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

9 Service Rate Adjustment Process

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

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider's authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider's SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer's performance under this agreement shall be documented by the Provider and transmitted to the Customer's SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties

will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

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

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

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

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
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Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers' business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer's business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer's business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

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

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

22 Hours of Operation

The Provider's Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

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

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Ms. Carrie D. Cole	(941) 486-2575
Provider SLA Coordinator	John A. Morden	(850) 488-5236

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.

Agency:	Department of Children and Families		
Contact Person:	Susan Maher	Phone Number:	850-414-3300
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Canupp v. Liberty Behavioral Health Care Corp. and Hadi		
Court with Jurisdiction:	USDC (Middle)		
Case Number:	2:04-cv-260-FtM-33DNF		
Summary of the Complaint:	Federal Class action alleging constitutionality inadequate sex offender treatment and special needs treatment at FCCC.		
Amount of the Claim:	Value of the claim is not known at this time.		
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. § 12131 and 14th Amendment		
Status of the Case:	On November 23, 2009, Judge Steele issued an order approving a joint motion of the plaintiff and defendant for approval of a settlement and dismissal of the case, dismissed the case with prejudice, and ordered the Clerk of Court to close the case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>Mr. James K. Green Suite 1630, Esperante 222 Lakeview Ave. West Palm Beach, FL 33401 561 659-2029</p> <p>Steven J. Schwartz Center for Public Representation 22 Green Street Northhampton, MA 01060 413 587-6200</p> <p>Robin Rosenberg Holland & Knight P.O. Box 3542 200 Central Avenue St. Petersburg, FL 33701-3326 727-824-6199</p> <p>Mr. Hubert Grissom, Jr., General Counsel Advocacy Center for Persons with Disabilities Suite 513 1000 Ashley Drive Tampa, FL 33602 954-967-1493 or 1-800-350-4566</p> <p>Michael Dale (monitor's attorney) Nova University Shephard Broad Law Center 3305 College Avenue Ft. Lauderdale, FL 33314 954-262-6159</p>
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Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

Agency:	Department of Children and Families		
Contact Person:	Stephanie A. Daniel	Phone Number:	850-414-3666
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p>FLORIDA PEDIATRIC SOCIETY/THE FLORIDA CHAPTER OF THE AMERICAN ACADEMY OF PEDIATRICS; FLORIDA ACADEMY OF PEDIATRIC DENTISTRY, INC.; ASHLEY DOVE, as the next friend of Kaleb Kelley, a minor child; RITA GORENFLO and LES GORENFLO, as the next friends of Thomas and Nathaniel Gorenflo, minor children, JESSY WATLEY, a minor child, by and through his next friend, Edna Watley; N.A., a minor child, by and through his next friend, C.R., K.S., as the next friend of J.S., S.B., as the next friend of S.M., S.C., as the next friend of L.C., and K.V., as the next friend of N.V.^a v. HOLLY BENSON, in her official capacity as , Secretary of the Florida Agency for Health Care Administration; GEORGE SHELDON, in his official capacity as acting Secretary of the Florida Department of Children and Family Services; and ANA M. . VIAMONTE ROS, M.D., M.P.H., in her official capacity as the Surgeon General of the Florida Department of Health</p>		
Court with Jurisdiction:	Pending in the U.S. District Court for the Southern District of Florida		
Case Number:	05-23037-CIV-JORDAN/MCALILEY		
Summary of the Complaint:	<p>This is a putative class action for declaratory and injunctive challenging the administration of the Medicaid Early Periodic Screening, Diagnosis and Treatment Program. The action is brought pursuant to 42 U.S.C. §1983, and various provisions of the Social Security Act, 42 U.S.C. §1396 et seq. Plaintiffs assert that they are being denied access to necessary physician care as well as dental care. The Plaintiffs include both pediatric and dental associations, as well as individual plaintiffs. The named Defendants are the agency heads of the Department of Health, Agency for Health Care Administration, and the Department of Children and Family Services. If Plaintiffs succeed, they seek, among other things, increased reimbursement rates to physician and dentist providers, which they allege will ensure access to services for children.</p>		
Amount of the Claim:	<p>This is an action for prospective declaratory and injunctive relief only. However, Plaintiffs seek an increase in Medicaid reimbursement rates for physicians and dentists. Plaintiffs have provided no precise estimates of the increased reimbursement rates they seek. Reportedly, they seek physician fees that are comparable to Medicaid rates (although there are no pediatric equivalents in Medicare rates), and usual and customary</p>		

^a This lawsuit involves minor children. While Plaintiffs failed to fully protect the identity of the minor children in the initial and amended complaint, they have complied with appropriate privacy requirements in filing the Second Amended Complaint. Accordingly, these children are identified by initial only.

	fees for dentists. Some estimate that it would cost \$400 million, if Plaintiffs obtain everything they seek.	
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. §§1396a (a) (8), (10), (30) (A) & 43.	
Status of the Case:	<p>The case has been pending since November 2005. A previously filed motion to dismiss was denied, except for one count of the complaint (dealing with a statutory claim not recited above, 42 U.S.C. §1396u2(b)(5)). About 100 depositions have been taken in the case, and the case has been litigated by both sides. Both sides have multiple experts. Discovery is closed.</p> <p>On September 30, 2009, the Court issued an Order Granting In Part The Plaintiffs' Motion For Class Certification. The certified class consists of "all children under the age of 21 who now, or in the future will, reside in Florida and who are, or will be, eligible under Title XIX of the Social Security Act for Early Periodic Screening, Diagnosis and Treatment Services."</p> <p>This class action matter is being tried in segments, as the court has time available. The first trial segment was held on December 7-10, 2009. The second occurred on January 5-11, 2010. The third occurred on February 9-11, 2010, and the most recent segment was May 17-20, 2010. The next trial segment has not been scheduled. Plaintiffs estimate that they have approximately 50 hours of direct and redirect testimony left before they complete their case in chief. Then Defendants will put on their case, and Plaintiffs will present any rebuttal. Although no hard date has been set to finish the trial, the Court has advised that it wishes to finish the trial by December 31, 2010.</p>	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>Stuart H. Singer, Esq. Carl E. Goldfarb, Esq. Damien J. Marshall, Esq. Boies, Schiller & Flexner LLP 401 East Las Olas Blvd. Suite 1200 Fort Lauderdale, FL 33301</p> <p>James Eiseman, Jr., Esq., Public Interest Law Center of Philadelphia 125 South Ninth Street Suite 700 Philadelphia, PA 19107</p> <p>Louis W. Bullock, Esq., Bullock, Bullock, & Blakemore 110 W. 7th Street Tulsa, Oklahoma 74112 Office of Policy</p>
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Office of Policy and Budget – July 2010

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.

Agency:	Department of Children and Families		
Contact Person:	John Slye	Phone Number:	850-413-6173
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	L.T.by her Guardian Vicki McSwain vs. the Department of Children and Family Services, an Agency of the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit Court - Gadsden County		
Case Number:	09-CA-2134		
Summary of the Complaint:	Negligent Supervision that led to molestation of child. Complaint counts are: 1) Intentional Misrepresentation, 2) Negligence, 3) Negligent Hiring Retention, and 4) Negligent Training and Supervision. Child was placed in home of Uncle and Aunt where the uncle had been previously found guilty of child molestation and the uncle ultimately sexually abused the minor child.		
Amount of the Claim:	\$2.7 million dollars		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	Settled for \$1,000,000 on 6/21/10, Risk Management to pay \$200,000. DCF to support a claims bill for \$800,000 to pay for the balance.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.

Agency:	Department of Children and Families		
Contact Person:	Mark Dunn	Phone Number:	850-414-3300
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Miller, Frank Johnson, et al Michael Murphy, Jeb Bush, Department of Children and Families		
Court with Jurisdiction:	U.S. District Court, Middle District Court of Florida, Tampa, Florida		
Case Number:	87-369-CIV-T-24E (Bucklew)		
Summary of the Complaint:	42 U.S.C. 1983 action concerning former state mental hospital G. Pierce Wood Hospital in Arcadia, Florida. The United States Department of Justice was allowed to intervene alleging ADA and CRIPA violations. DOJ's claims were denied after a 5 week trial. Despite the closure of the hospital and the defeat of the DOJ claims, the consent decree remains.		
Amount of the Claim:	Indeterminate, but this case has policy ramifications as to how class members' services are funded in the former GPW catchment area. This fiscal year, \$39 million dollars was appropriated by the legislature to DCF for mental health services in the GPW catchment area. There are also monitor budgets and attorneys' fees to consider.		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	On February 9, 2010, Judge Bucklew dissolved all injunctions in the case, found the Consent Decree in the case had been achieved and terminated the Consent Decree, relinquished jurisdiction over the case, and ordered the Clerk to close the case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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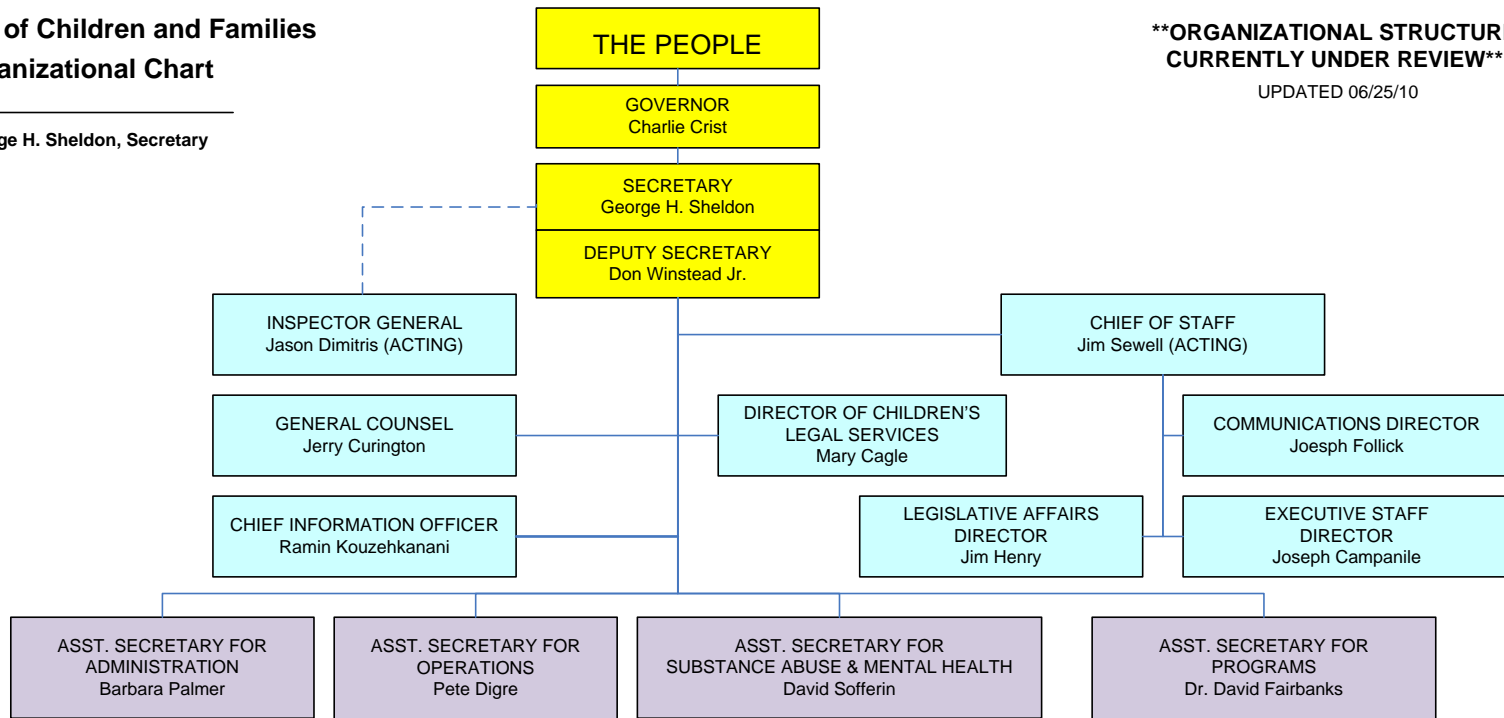
Office of Policy and Budget – July 2010

**Department of Children and Families
Organizational Chart**

George H. Sheldon, Secretary

****ORGANIZATIONAL STRUCTURE
CURRENTLY UNDER REVIEW****

UPDATED 06/25/10



CHILDREN AND FAMILY SERVICES, DEPARTMENT OF		FISCAL YEAR 2009-10			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		2,988,870,994		0	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		31,913,841		0	
FINAL BUDGET FOR AGENCY		3,020,784,835		0	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					0
Protective Investigations * Number of investigations.		41,274	768.62	31,724,085	
Protective Services * Healthy Families *		5,660	3,952.42	22,370,723	
Protective Investigations * Number of investigations		12,099	151.30	1,830,568	
In-home Supports * Number of children under protective supervision (point in time)		169,440	1,126.41	190,859,561	
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.		6,851	8.33	57,035	
Child Welfare Legal Services * Percent of victims of verified or indicated maltreatment who were subjects of subsequent reports with verified or indicated maltreatment within 6 months.		18,731	2,394.85	44,857,878	
Emergency Shelter Supports * Number of individuals counseled.		2,542	21,333.69	54,230,236	
Prevention Grants * Number of grants received		55,088	397.26	21,884,522	
Report Intake, Assessment And Referral * Number of calls to the hotline		42	227,453.93	9,553,065	
Adoption Subsidies * Number of children receiving adoption subsidies		396,713	52.88	20,977,547	
Adoption Services * Children receiving adoptive services		29,648	4,144.54	122,877,386	
License Child Care Arrangements * Number of facilities and homes licensed		5,685	109,288.94	621,307,615	
Case Management * Percent of protective supervision cases in which no report alleging abuse, neglect, or exploitation is received while the case is open (from beginning of protective supervision for a maximum of 1 year).		6,418	3,040.62	19,514,690	
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA abd ADA Medicaid Waiver Program		6,204	416.40	2,583,341	
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program.		1,634	2,084.63	3,406,282	
Emergency Stabilization * Number of children with serious disturbances who improve thir level of functioning.		1,619	1,273.94	2,062,502	
Emergency Stabilization * Number of adults in mental health crisis served		15,023	1,473.49	22,136,301	
Provide Forensic Treatment * Average number of days to restore competency for adults in forensic commitment.		67,318	1,329.75	89,515,814	
Provide Civil Treatment * Percent of adults in civil commitment, per Ch. 394, F.S., who show an improvement in functional level.		2,780	67,957.93	188,923,059	
Community Support Services * Number of SED children to be served		1,759	137,091.49	241,143,925	
Community Support Services * Number of adults with forensic involvement served.		95,310	652.36	62,176,227	
Assessment * Number of sexual predators assessed		178,023	1,141.71	203,251,148	
Detoxification * Number of children with substance-abuse problems served		3,393	8,916.58	30,253,957	
Prevention Services * Percent of children at risk of substance abuse who receive targeted prevention services who are not admitted to substance-abuse services during the 12 months after completion of prevention services.		2,562	2,220.41	5,688,698	
Treatment And Aftercare * Number of children with substance-abuse problems served		2,174	10,448.89	22,715,897	
Detoxification * Number of adults served		42,157	1,061.62	44,754,576	
Prevention * Number of at-risk adults provided prevention services		22,289	1,071.29	23,877,988	
Treatment And Aftercare * Percent of adults who are drug free during the 12 months following completion of treatment.		264	20,423.49	5,391,802	
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery		32,979	2,804.55	92,491,339	
Refugee Assistance * Number of refugee cases		17,007,986	1.08	18,443,980	
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments		68,152	1,234.83	84,156,038	
Homeless Assistance * Number of beds per day available for homeless clients		1,196	13,249.31	15,846,173	
Eligibility Determination/Case Management * Number of cash assistance payments		2,729	8,604.28	23,481,078	
Issue Welfare Transition Program Payments * Total number of cash assistance payments		10,400,201	32.32	336,098,563	
TOTAL		524,619	358.18	187,909,141	
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER					
REVERSIONS					152,432,205
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)					3,020,784,945

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.

ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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 ***

THE FOLLOWING ACTIVITIES DO NOT HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND ARE REPORTED AS 'OTHER' IN
SECTION III: (NOTE: 'OTHER' ACTIVITIES ARE NOT 'TRANSFER-STATE AGENCY' ACTIVITIES OR 'AID TO LOCAL
GOVERNMENTS' ACTIVITIES. ALL ACTIVITIES WITH AN OUTPUT STANDARD (RECORD TYPE 5) SHOULD BE REPORTED
IN SECTION II.)

*** NO ACTIVITIES FOUND ***

TOTALS FROM SECTION I AND SECTIONS II + III:

*** NO DISCREPANCIES FOUND ***

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 60	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	3,020,784,835	
TOTAL BUDGET FOR AGENCY (SECTION III):	3,020,784,945	
	-----	-----
DIFFERENCE:	110-	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

**SCHEDULE XIIB: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS**

Schedule XII-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule XII-B Submission Date: October 15, 2010
Project Name: Substance Abuse and Mental Health Managing Entities	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2011-2012 LBR Issue Code: 160F110 160F120 2600100 2600120	FY 2011-2012 LBR Issue Title: Transfer Funding to Establish a Behavioral Health Managing Entity – Add Transfer Funding to Establish a Behavioral Health Managing Entity – Deduct Annualization of Funding to Establish a Behavioral Health Managing Entity – Add Annualization of Funding to Establish a Behavioral Health Managing Entity – Deduct
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): David Overstreet, (850) 413-6779, David_Overstreet@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII-B in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII-B.	
Agency Head:	Date:
Printed Name: George Sheldon	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name: n/a	
Budget Officer:	Date:
Printed Name: Nevin Smith	
Planning Officer:	Date:
Printed Name: Stephenie Colston	
Project Sponsor:	Date:
Printed Name: David Sofferin	

**SCHEDULE XIIB-1: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS
– BACKGROUND INFORMATION**

Background Information
<p>1. Provide a narrative summary describing the agency’s decision to outsource or privatize the service or activity.</p> <p>Attach to Schedule XII-B copies of the original business case and cost benefit analysis. If these documents are unavailable, attach any documents which state the original intention of the outsourcing or privatization initiative that will detail its goals, objectives, and expected outcomes. Such documents may include (a) original legislative budget requests, (b) original budget amendments, (c) legislative presentations, or (d) agency planning documents.</p>
<p>The goal of the service delivery strategies is to provide a design for an effective coordination, integration, and management approach for delivering effective behavioral health services to persons who are experiencing a mental health or substance abuse crisis, who have a disabling mental illness or a substance use or co-occurring disorder, and require extended services in order to recover from their illness, or who need brief treatment or longer-term supportive interventions to avoid a crisis or disability.</p> <p>In accordance with s.394.9082 (4) (a), the Department may contract for the purchase and management of behavioral health services with community-based managing entities. The Department may require a managing entity to contract for specialized services that are not currently part of the managing entity's network if the Department determines that to do so is in the best interests of consumers of services. The Secretary shall determine the schedule for phasing in contracts with managing entities. The managing entities shall, at a minimum, be accountable for the operational oversight of the delivery of behavioral health services funded by the Department and for the collection and submission of the required data pertaining to these contracted services. A managing entity shall serve a geographic area designated by the Department. The geographic area must be of sufficient size in population and have enough public funds for behavioral health services to allow for flexibility and maximum efficiency.</p> <p>(b) The operating costs of the managing entity contract shall be funded through funds from the Department and any savings and efficiencies achieved through the implementation of managing entities when realized by their participating provider network agencies. The Department recognizes that managing entities will have infrastructure development costs during start-up so that any efficiencies to be realized by providers from consolidation of management functions, and the resulting savings, will not be achieved during the early years of operation. The Department shall negotiate a reasonable and appropriate administrative cost rate with the managing entity. The Legislature intends that reduced local and state contract management and other administrative duties passed on to the managing entity allows funds previously allocated for these purposes to be proportionately reduced and the savings used to purchase the administrative functions of the managing entity. Policies and procedures of the Department for monitoring contracts with managing entities shall include provisions for eliminating duplication of the Department's and the managing entities' contract management and other administrative activities in order to achieve the goals of cost-effectiveness and regulatory relief. To the maximum extent possible, provider-monitoring activities shall be assigned to the managing entity.</p> <p>(c) Contracting and payment mechanisms for services must promote clinical and financial flexibility and responsiveness and must allow different categorical funds to be integrated at the point of service. The contracted service array must be determined by using public input, needs assessment, and evidence-based and promising best practice models. The Department may employ care management methodologies, prepaid capitation, and case rate or other methods of payment, which promote flexibility, efficiency, and</p>

accountability.

Reference documents:

- me roles and responsibilities 6-19-09.doc
- SAMH Managing Entities 031609.ppt
- MH Managing Entity.xls (budget amendment request)
- DCF Staff Development & Training Plan603010_draft.doc
- KMR_Managing_Entities_Management_Plan_Final_Report_60-30-10-DRAFT.doc

2. Have the anticipated cost savings and benefits of the initiative been realized? Explain.

The first full Managing Entity contract was executed on July 1, 2010. It is too early in the contract to be able to estimate or realize any savings; however, through the planning and execution process, the desired benefits of community engagement and leadership in system design are anticipated in a more effective system of care.

Reference contract with Central Florida Behavioral Health Network, Inc. (Contract QD1AD9 Original.pdf)

3. Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.

Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation, which are deemed by the agency not to be confidential or exempt from public records requirements if available.

The Department of Children and Families used an Invitation to Negotiate (attached) to solicit vendors for this project. Two proposals were submitted and after evaluation and negotiations, a contract was signed with Central Florida Behavioral Health Network, Inc.

See attached ITN -
ME Invitation to Negotiate Template.pdf

4. Section 287.057(13)(a), *Florida Statutes*, allows for the renewal of contracts for commodities and contractual services for a period that may not exceed three years, or the term of the original contract, whichever period is longer. Such renewals are contingent upon satisfactory performance evaluations by the agency and subject to the availability of funds.

For the outsourced or privatized service or activity, identify the number of times the contract has been renewed and specify the renewal period of each. Attach a copy of the documentation verifying the contractor's satisfactory performance compliance required prior to each renewal.

This contract has not yet been renewed.

5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide a narrative summary describing service level requirements compliance or noncompliance and the method used by the agency for monitoring progress in achieving the specified performance standards within the contract.

Central Florida Behavioral Health Network, Inc. has satisfactorily complied with all service level requirements since the execution of the full Managing Entity contract on June 30, 2010. Performance specifications and standards for monitoring of the contract are shown in the below excerpts from the current contract.

5. Performance Specifications

a. Performance Measures

(1) The managing entity shall meet the performance standards and required outcomes as specified in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**.

(2) The managing entity agrees that the SAMH Information System will be the source for all data used to determine compliance with performance standards and outcomes in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**. The managing entity shall provide oversight to ensure that all network providers submit all service related data for clients funded, in whole or in part, by SAMH funds, local match, or Medicaid.

(3) The managing entity shall evaluate and require that all network providers also evaluate co-occurring capabilities within their agency and their clinical staff. Prevalence data shall be collected using the Substance Abuse and Mental Health Information System (SAMHIS). Specifically, prevalence data will be collected via the Substance Abuse Outcomes Admission, Mental Health Outcomes Admission, and Detoxification Outcome forms found in SAMHIS.

(4) In addition to the performance standards and required outcomes specified in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**, the provider shall meet requirements set forth in **Exhibit C-2, Indirect Prevention Performance Measures**.

b. Performance Measurement Terms

CFP 155-2 provides the definitions of the data elements used for various performance measures and contains policies and procedures for submitting the required data into the department data system. KIT Solutions maintains the procedures for submitting the required prevention data into PBPS.

c. Performance Evaluation Methodology

(1) The managing entity shall require network providers to collect information and submit performance data and individual client outcomes to the department data system in compliance with CFP 155-2 requirements. The specific methodologies for each performance measure may be found at the following website:
[http://dashboard.dcf.state.fl.us/index.cfm?page=menu details](http://dashboard.dcf.state.fl.us/index.cfm?page=menu%20details).

(2) The managing entity shall engage in organized performance improvement

activities and participate in partnership with the department in performance improvement projects that are related to system wide transformation and improvement of services for individuals and families.

(3) The department's contract manager will monitor the standards and outcomes specified in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**, and in **Exhibit C-2, Indirect Prevention**, during the contract period, to determine if the provider is achieving the levels that are specified.

(4) The managing entity shall achieve deliverables specified in **Exhibit L, Contract Deliverables/Implementation Plan for Baseline Functions**.

(5) By execution of this contract the managing entity hereby acknowledges and agrees that its performance under the contract must meet the standards set forth above and will be bound by the conditions set forth in this contract. If the managing entity fails to meet these standards, the department, at its exclusive option, may allow a reasonable period, not to exceed 6 months, for the managing entity to correct performance deficiencies. If performance deficiencies are not resolved to the satisfaction of the department within the prescribed time, and if no extenuating circumstances can be documented by the managing entity to the department's satisfaction, the department must terminate the contract. The department has the sole authority to determine whether there are extenuating or mitigating circumstances.

Contract Requirements for Monitoring of Central Florida Behavioral Health Network, Inc.

c. Monitoring Requirements

(1) The managing entity will be monitored in accordance with s. 394.741 F.S., and CFOP 75-8, Contract Monitoring Operating Procedures. The managing entity shall comply with any coordination or documentation required by the department's evaluator(s) to successfully evaluate the programs, and shall provide complete access to all budget and financial information related to services provided under this contract, regardless of the source of funds.

(2) The department will provide a written report to the provider within 30 days of the monitoring. If the report indicates corrective action is necessary, the provider shall have 30 days from receipt of the monitoring report to respond in writing to the request. In the case of threat to life or safety of clients, the corrective action will be immediate.

6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.

It is too soon to identify any unanticipated benefits, as the full Managing Entity contract was executed on June 30, 2010.

7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.

Although early in the implementation, an issue of data sharing did develop and was quickly resolved. The issue revolved around a request that the Managing Entity made for historical client data for services provided by agencies within the established provider network. Because appropriate releases of information were not provided for historical data, a working agreement had to be modified between each provider in the network and the Managing Entity to facilitate the exchange of client data, especially historical data.

8. Briefly describe your agency's overall level of satisfaction with the results of outsourcing or privatization of the service or activity.
In only the first few months of implementation there have been no noted disruptions or reduction in services. Continued progress will be monitored closely.
9. What lessons learned should be shared with other agencies considering the outsourcing or privatization of a similar service or activity?
Heavy emphasis on the initial procurement and negotiation phase is critical for a smooth transition. In addition, the development of an internal management training plan that clearly delineates the new skills needed for Department staff is an essential part of the transition. The plan should look to evaluate current skill sets, needed skill sets, and outline a plan for bridging the skills/knowledge gap through training or recruitment. Even though the first full Managing Entity contract has only been in place since July 1, 2010, the team will focus on continued lessons learned for continued successful transition.

Office of Policy and Budget – July 2010

SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA

Section I: Cost Data

For each outsourced or privatized service or activity, complete the cost analysis below:

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned * Savings	Actual/Revised Savings
FY 2010 - 2011	\$ 137,937,556	\$	\$0	\$
FY 2011 - 2012	\$ 137,937,556	\$	\$1,702,545	\$
FY 2012 - 2013	\$ 137,937,556	\$	\$3,499,679	\$
FY 2013-2014	\$ 137,937,556	\$	\$5,202,224	\$
FY 2014-2015	\$ 137,937,556	\$	\$6,810,180	\$
FY 0000 - 0000	\$	\$	\$	\$
FY 0000 - 0000	\$	\$	\$	\$
FY 0000 - 0000	\$	\$	\$	\$
FY 0000 - 0000	\$	\$	\$	\$
FY 0000 - 0000	\$	\$	\$	\$

* Planned savings are in reduced administrative costs that will then be used to meet increased service demand

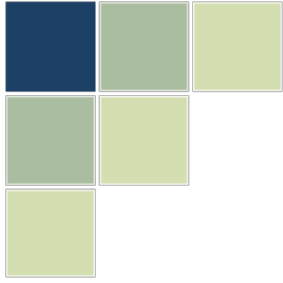
Variance	Reasons			
Cost				
Savings				

Section II: Deliverables and Milestones Schedule

For each outsourced or privatized service or activity, complete the deliverables and milestones schedule below:

Deliverables and Milestones			Original	Actual Date/ Revised Date
See Exhibit C - Contract QD1A9	"Substance Abuse and Mental Health Required Performance Outcomes and Outputs"	pgs 44 - 48		
See Exhibit G - Contract QD1A9	"Minimum Service Requirements"	pgs. 76 - 80		
See Exhibit L - Contract QD1A9	"Contract Deliverables/Implementaton Plan for Baseline Functions"	pgs. 87 - 106		

Variance	Reasons			
Schedule				



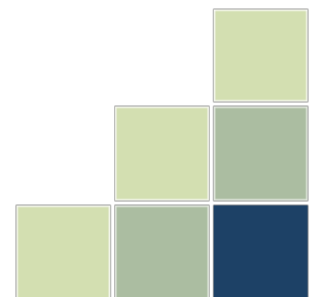
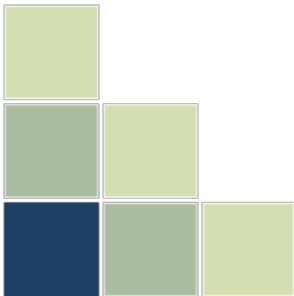
Florida
Department
of
Children & Families

Fiscal Year 2011-2012

(Not Applicable)

Schedule XIII

Proposed Consolidated
Financing of Deferred-
Payment Commodity
Contracts



Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Children and Family Services **Contact:** Nevin Smith (850)487-2552

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2010 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2011-2012 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2011-2012 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Base	R & B	\$2,758.3 M	\$2,765.9 M
b	Annualizations	B	\$ 0.3 M	\$ 2.5 M
c	Temporary Assistance for Needy Families (TANF)	B	\$ 9.1 M	\$ 0.0 M
d	Child Protective Investigations	B	\$ 0.7 M	\$ 0.0 M
e	Community Based Care	B	\$ 5.5 M	\$ 10.3 M
f	Healthy Families	B	\$ 0.0 M	\$ 12.0 M
g	Independent Living	B	\$ 1.1 M	\$ 33.7 M
h	Maintenance Adoptions	B	\$ 14.6 M	\$ 8.1 M
i	Maintenance Adoptions - Restore Nonrecurring Funds	B	\$ 4.0 M	\$ 5.0 M
j	Adult Protective Investigations	B	\$ 0.0 M	\$ 3.8 M
k	Aged or Disabled Adults (ADA) Home and Community Based Medicaid Waiver	B	\$ 0.0 M	\$ 16.9 M
l	Mental Health Services - Restore Nonrecurring Funds	B	\$ 37.3 M	\$ 47.5 M
m	Mental Health Services	B	\$ 0.5 M	\$ 13.8 M
n	Substance Abuse Services - Restore Nonrecurring Funds	B	\$ 16.8 M	\$ 22.0 M
o	Substance Abuse Services	B	\$ 0.0 M	\$ 24.2 M
p	Federal Indirect Reimbursement Deficit	B	\$ 8.5 M	\$ 8.5 M
q	Electronic Benefit Transfer (EBT) Deficit	B	\$ 12.7 M	\$ 19.6 M
r	Northwood Shared Resource Center (NSRC) Realignment	B	\$ 2.1 M	\$ 2.1 M
s	Marisa Amora Claim	B	\$ 1.7 M	\$ 1.7 M
t	Homeless Housing	B	\$ 3.9 M	\$ 7.0 M
u	Restore Mental Health Reinvestment Grants	B	\$ 3.0 M	\$ 3.0 M
v	Restore Community Projects Funded with Nonrecurring Funds	B	\$ 13.4 M	\$ 16.5 M
w	Capital Improvement/Maintenance and Repair	B	\$ 0.0 M	\$ 11.5 M
x	Information Systems	B	\$ 0.0 M	\$ 31.0 M

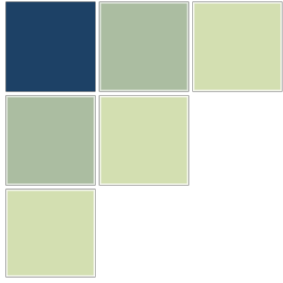
y	Executive Direction and Support Services	B	\$ 0.0 M	\$ 1.1 M
z	Information Technology	B	\$ 0.0 M	(\$ 0.0 M)
aa	Northwood Shared Resource Center	B	\$ 0.0 M	(\$ 28.6 M)
ab	Family Safety Preservation Services	B	\$ 0.0 M	\$ 60.3 M
ac	Mental Health Services	B	\$ 0.0 M	\$ 6.3 M
ad	Substance Abuse Services	B	\$ 0.0 M	(\$ 8.0 M)
ae	Economic Self Sufficiency Services	B	\$ 0.0 M	\$ 29.3 M

- 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.

The Department of Children and Families identified needs for the Legislative Budget Request associated with its mission and statutory mandates. Following the identification of needs the department analyzed its ability to meet those needs utilizing existing resources (base budget) and resource requests above base (state and federal funds). Utilizing that planning/funding frame the department prioritized its Legislative Budget Request. Differences between the Departments request and the Long Range Financial Outlook are related to differences in the planning/funding frame utilized by the Department and the those preparing the Long Range Financial Outlook.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - July 2010



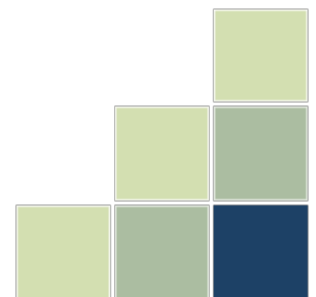
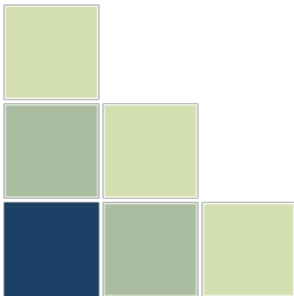
Florida
Department
of
Children & Families

Fiscal Year 2011-2012

Budget Entity Level
Exhibits

&

Schedules



DEPARTMENT OF CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

**AUTOMATED COMMUNITY CONNECTION TO
ECONOMIC SELF-SUFFICIENCY (ACCESS)**

**FLORIDA SUPPORT FOR DEPARTMENT OF
REVENUE CAMS PROJECT**

FOR

FISCAL YEAR 2011-2012



State of Florida

The Florida Legislature

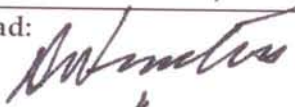
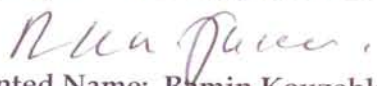

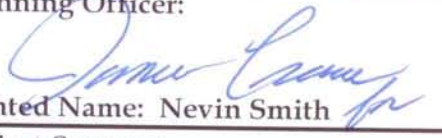

Governor's Office of Policy and Budget

October 15, 2010

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date: October 15, 2010
Project Name: Interface/CAMS	Is this project included in the Agency's LRPP? X Yes ___ No
FY 2010-11 LBR Issue Code: 36220CO	FY 2010-11 LBR Issue Title: DCF Automated Community Connection to Economic Self-Sufficiency (ACCESS) Florida Support for Department of Revenue CAMS Project
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz 487-8902 lori_schultz@dcf.state.fl.us	
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: George H. Sheldon	Date: 10/13/2010
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Budget Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Planning Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Project Sponsor:  Printed Name: Jennifer Lange	Date: 10.13.10
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us
Cost Benefit Analysis:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us
Risk Analysis:	LaQuetta Anderson 922-6356 laquetta_anderson@dcf.state.fl.us Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us
Technology Planning:	NSRC
Project Planning:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us

II. Schedule IV-B Business Case

A. Background and Strategic Needs Assessment

ACCESS Florida (Automated Community Connections to Economic Self Sufficiency, formerly known as the Economic Self-Sufficiency Programs), is the Department's public assistance service delivery program.

The ACCESS program provides the following services to the citizens of Florida:

- **Temporary Cash Assistance** provides cash assistance to families with children under the age of 18 or under the age of 19 if full time secondary school students that meet the technical, income, and asset requirements. The program helps families become self-supporting while allowing children to remain in their own homes.
- **Food Stamps** (now known as SNAP) helps low-income individuals and families that meet the technical, income and asset requirements of the program to buy the food they need for good health.
- **Medicaid** provides medical coverage to low-income individuals and families that meet the technical, income and asset requirements of the program. The Agency for Health Care Administration administers Medicaid services, while the Department of Children and Families determines Medicaid eligibility.

The FLORIDA system is an integrated system, with public assistance (PA) and child support enforcement (CSE) functionality intertwined. The system has been shared by the two programs since the system's original design in the late 1980s and its implementation in the early 1990s.

The Department is required by federal regulations (45CFR 205.36, 45CFR 307.10) and state law (Chapter 414.32 (1)(a) and (b), F.S.) to make referrals to CSE for child support services.

Programming changes are currently in progress to ensure that the FLORIDA system can continue to send CSE referrals as required when CSE moves from the FLORIDA system to their new CAMS system. These programming changes are scheduled to be completed by February 2011. Testing is scheduled to be completed by October 2011, and in place for a three month pilot in time for CAMS to go live in 2/2012 as currently planned by the Department of Revenue (DOR).

There are many modules, functions, processes and databases that are shared between PA and CSE. There are also linkages and dependencies in the defined batch cycles. In addition to making necessary changes to the referral process, the Department must make numerous changes to existing programs and databases in order to "de-link," or eliminate the functions, processes, databases and dependencies that will no longer be needed for public assistance purposes once the CSE functions are moved to the CAMS system.

The Department must ensure that changes to the referral process work properly and must also ensure, through comprehensive testing activities, that the "de-linking" to remove CSE logic and data does not adversely impact the public assistance business logic that remains within the FLORIDA system environment – both on-line and batch. The Department has been advised by the Administration for Children and Families within the federal Department of Health and Human Services that no federal reimbursement out of CSE funding can be used for this project.

B. Baseline Analysis

1. Current Business Process Requirements

The Department of Revenue is working on its Child Support Enforcement Automation Management System (CAMS) project, which will move child support enforcement functionality out of the FLORIDA system which it currently shares with the ACCESS program.

The Department of Children and Families is committed, to the extent that funding and resources permit, to supporting DOR as they move to their own platform, currently scheduled for February 2012.

One of the critical activities scheduled to be completed to support this transition is the redesign of the current Public Assistance/Child Support Enforcement (PA/CSE) interface.

The other critical activity is the need to ensure that the system continues to function properly once CSE removes their data and functionality from the system.

The FLORIDA system environment currently has numerous modules where PA and CSE share functions and/or data:

- Client Registration
- Data Exchange
- Security
- Caseload Management
- Comprehensive Scheduling
- Reference Tables
- Training
- Common Utilities
- Archive Maintenance
- History Maintenance
- Help Screens, and
- Online Manuals.

The Department is working closely with DOR Child Support Enforcement technical and programmatic staff to ensure that all the changes required to remove CSE functions from the FLORIDA system environment are accurately identified, made efficiently and effectively, and that the automated exchange of data will continue to occur between the CAMS system and the FLORIDA environment as required by federal regulations.

The Department is currently in the process of programming changes necessary to support the interface between the FLORIDA system and DOR CAMS system for federally required child support enforcement referrals when DOR leaves the FLORIDA system. Funding was acquired for FY 2010-11 to complete the interface programming, but additional funds are needed for FY 2011-12 to complete necessary supporting changes to public assistance modules, support user acceptance testing, complete programming necessary to support DOR pilot approach of a three (3) month parallel run of the existing FLORIDA-based functionality and the CAMS system, and to support implementation activities. Funding is also needed to cover additional Northwood Shared Resource Center (NSRC) service costs associated with the pilot as a significant amount of production data will have to be replicated and stored for the duration of the pilot.

2. Assumptions and Constraints

- Failure to maintain a federally acceptable interface between FLORIDA and CAMS could result in a reduction of TANF funding.
- The Department of Health and Human Services, Administration for Children and Families (DHHS/ACF) has advised the Department that funding for maintaining the interface from DCF to DOR/CSE is the responsibility of the referring agency (DCF) and that no federal CSE matching funds are available. Therefore, any matching federal funds must come from programs administered by DCF.
- All necessary federal approvals will be in place through the annual Advance Planning Document submitted to the cognizant federal agencies and through as-needed requests for approval of additional documents, contracts, and/or contract amendments that may be necessary.
- Analysts and programmers who support the DOR/CSE portion of the FLORIDA system may not be available to assist with this project as it is anticipated that they will be engaged in conversion activities for DOR/CSE.
- The NSRC will need to obtain additional hardware resources (Direct Access Storage Device DASD) in order to store sufficient production data to support pilot needs.

C. Proposed Business Process Requirements

1. Proposed Business Process

Programming activities are under way during FY 2010-11 to complete the interface programming, but additional activities must occur in FY 2011-12 to complete necessary supporting changes to public assistance modules, support user acceptance testing, complete programming necessary to support DOR pilot approach of a three (3) month parallel run of the existing FLORIDA-based functionality and their new CAMS system, and to support implementation activities.

The three (3) month pilot that DOR is planning will require additional programming to create a separate environment in order to simulate the referral process and work flow in the new environment while maintaining the existing referral process and work flow until successful completion of the pilot.

Maintaining a working PA/CSE interface process for referrals to the Child Support Enforcement program in support of CAMS must occur for the Department to continue to meet statutory and regulatory requirements at both the state and federal levels and to ensure that the FLORIDA system environment continues to work optimally to serve our customers.

2. Business Solution Alternatives

The possible alternatives are to do the work as defined by CSE needs (the interface process selected), to propose a different solution, or to make no changes.

3. Rationale for Selection

Not making any changes to accommodate CSE leaving the FLORIDA environment would be irresponsible. Regardless of which interface approach is taken, programs would still need to be analyzed and the effects on functionality and/or data shared with CSE will still need to be determined. The fact that CSE will be eliminating their data and code from shared structures and programs means that PA needs to be involved at every level to insure that no damage

occurs to the remaining functionality and data. Since the Department will incur all costs associated with the FLORIDA environment once CAMS is implemented, it is essential that the most efficient public assistance system remain after CSE leaves. At the present time DOR/CSE is paying the NSRC in excess of \$8 million annually for operation of their share of the FLORIDA system.

Choosing not to make any changes to the interface would place the burden of programming the interface with DOR in order to implement filtering logic so that unnecessary referrals are not received. Continuing to process referrals from within FLORIDA is a less desirable alternative than moving processing out of the mainframe environment. This option would not decrease batch processing time or reduce mainframe storage costs as much. The other changes related to CSE removing logic, databases, processes and data from the system will still need to be made.

Moving processing to the mid-range platform maximizes reductions in batch processing; may reduce costs to the Department once CAMS is implemented in 2012; potentially reduces mainframe storage costs by eliminating the need to keep duplicate data in multiple locations; and potentially allows the online functionality of ACCESS Florida and the FLORIDA environment to be available longer by reducing the mainframe batch processing window. The other changes related to CSE removing logic, databases, processes and data from the system will still need to be made.

4. Recommended Business Solution

The Department recommends the interface solution that transitions functionality from the mainframe to the mid-range platform. When CAMS is implemented in 2012 and all CSE functionality is removed from the FLORIDA system, all costs for the operation of the FLORIDA mainframe environment will be borne by the Department (DOR's share is currently about \$8 million annually). A design that reduces reliance on the mainframe may ultimately be less costly for ongoing operation. The requirements for this approach have already been communicated to DOR; CAMS Phase II design for the interface is proceeding based on this option.

Costs for FY 2009-2010 were \$391,067. Anticipated costs for FY 2010-2011 are \$1,132,200. To accomplish the necessary tasks during FY 2011-2012 the Department needs an additional \$460,200 of funding for programming. In addition, the NSRC estimates that in order to support the data needs of the pilot, the Department will need to utilize an additional 2.83 terabytes of storage that the NSRC does not have. The cost to the Department to utilize the additional storage is estimated to be an additional \$41,233 per month for three months for a cost of \$123,699. These charges are based on currently available rate data as the rates are subject to change as approved by the Board of Trustees that govern the services and expenditures of the NSRC. NSRC estimates their cost to purchase the additional storage is \$150,000.

III. Schedule IV-B Cost Benefit Analysis

A. Benefits Realization Table

The table on the following page presents the benefits that will be realized from the successful completion of the initiatives described in this document.

The department anticipates no reduction in costs as the department expects to absorb DOR's share of costs related to the environment when DOR leaves the FLORIDA system. Preliminary estimates of cost increases need to be revisited in light of ongoing data center consolidation at the NSRC.

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Maintain electronic interface with Child Support Enforcement (CAMS Interface Changes)	Intangible	DCF and DOR	Automated referrals to CSE	Compliance with state and federal laws and regulations	02/2012

B. Cost-Benefit Analysis Forms

The complete set of Cost-Benefit Analysis forms is located in Appendix A.

C. Cost-Benefit Analysis Results

The following chart, completed during FY 2010-11 and updated to reflect additional DASD costs for FY 11-12, shows that there is no anticipated payback period for this project.

CBAForm 3 - Project Investment Summary		Agency	<u>Children and Families</u>	Project	<u>Interface/CAMS</u>
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COST BENEFIT ANALYSIS - CBAForm 3A						
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
Project Cost	\$1,132,200	\$583,899	\$0	\$0	\$0	\$1,716,099
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$1,132,200)	(\$583,899)	\$0	\$0	\$0	(\$1,716,099)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS - CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$1,600,504)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield - CBAForm 3C					
Fiscal Year	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

The Department was required by proviso in the 2009 General Appropriations Act to complete a study by February 28, 2010 which included projected costs. The proviso language is as follows in Chapter 2009-81 Laws of Florida:

From funds in Specific Appropriation 283, the Department of Children and Family Services is directed to establish and chair a workgroup made up of representatives designated by the Department of Revenue, the Northwood Shared Resource Center (NSRC), and the Agency for Enterprise Information Technology to develop a recommended plan for any modifications in operation, overall cost, and cost recovery systems that will impact the Florida On-Line Recipient Integrated Data Access (FLORIDA) System as a result of the production implementation of the Department of Revenue's Child Support Automated Management System. The plan shall minimally address system needs over the next three state fiscal years and include current and projected staffing requirements; current and projected mainframe and other system capacity requirements; current and projected costs of operation, including any one-time transition costs; and any changes in technology that are determined to be necessary. The plan shall be submitted to the Governor, the chair of the House Full Appropriations Council and General Government & Health Care, and the chair of the Senate Policy and Steering Committee on Ways and Means no later than February 28, 2010.

The cost-benefit analysis results did not identify any tangible savings for DCF, but the work is necessary to support federal requirements, serve clients diligently, and make CAMS implementation successful.

IV. Major Project Risk Assessment Component

The risk assessment completed for this study indicates the overall risk is MEDIUM.

Project	<i>Interface/CAMS</i>	
Agency	<i>Department of Children & Families</i>	
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:	
<i>36220CO</i>	<i>ACCESS Florida Support for CAMS</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Kara O'Brien</i>	<i>410-3326</i>	<i>kara_o'brien@dcf.state.fl.us</i>
Executive Sponsor	<i>Jennifer Lange</i>	
Project Manager	<i>Project Manager Name</i>	
Prepared By	<i>Kara O'Brien</i>	<i>9/22/2010</i>
Risk Assessment Summary		
Business Strategy		
Project Risk Area Breakdown		
Risk Assessment Areas		<i>Risk Exposure</i>
Strategic Assessment		MEDIUM
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		MEDIUM
Communication Assessment		LOW
Fiscal Assessment		MEDIUM
Project Organization Assessment		MEDIUM
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
<i>Overall Project Risk</i>		MEDIUM

The Project Risk Summary Charts are included in Appendix B.

Although the overall project risk is medium, the two agencies have a long-standing, effective working relationship.

V. Technology Planning Component

The NSRC has advised that additional DASD will be required to support the 3 month pilot. The NSRC is in the process of determining the most cost-effective way to obtain the additional DASD. We are in the process of working with the NSRC on a capacity plan.

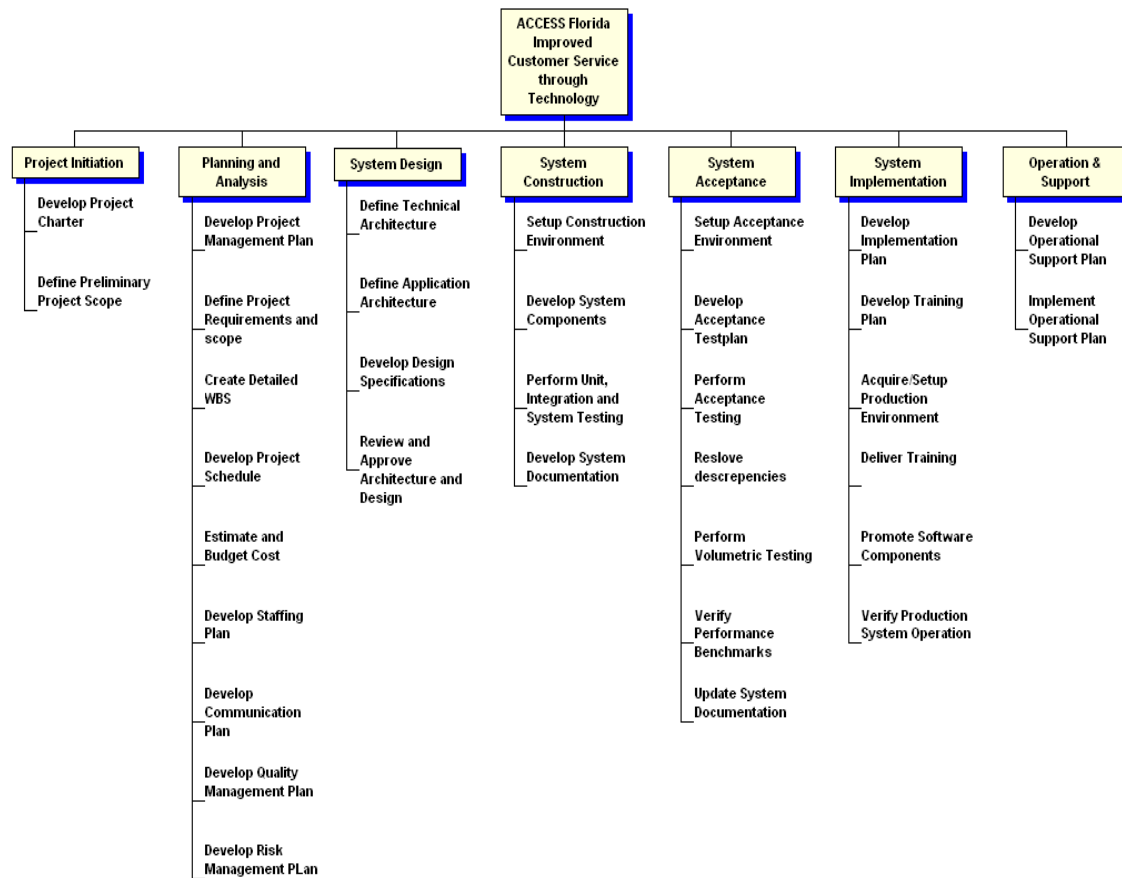
VI. Project Management Planning Component

A. Project Charter

Prior to beginning each initiative, an Information Systems Service Request (ISSR) is developed for each initiative. The ISSRs document the business needs and characteristics of the requested improvements and are approved by the ACCESS Program Office and Information Technology Services management teams. The approved ISSRs serve as the Project Charter.

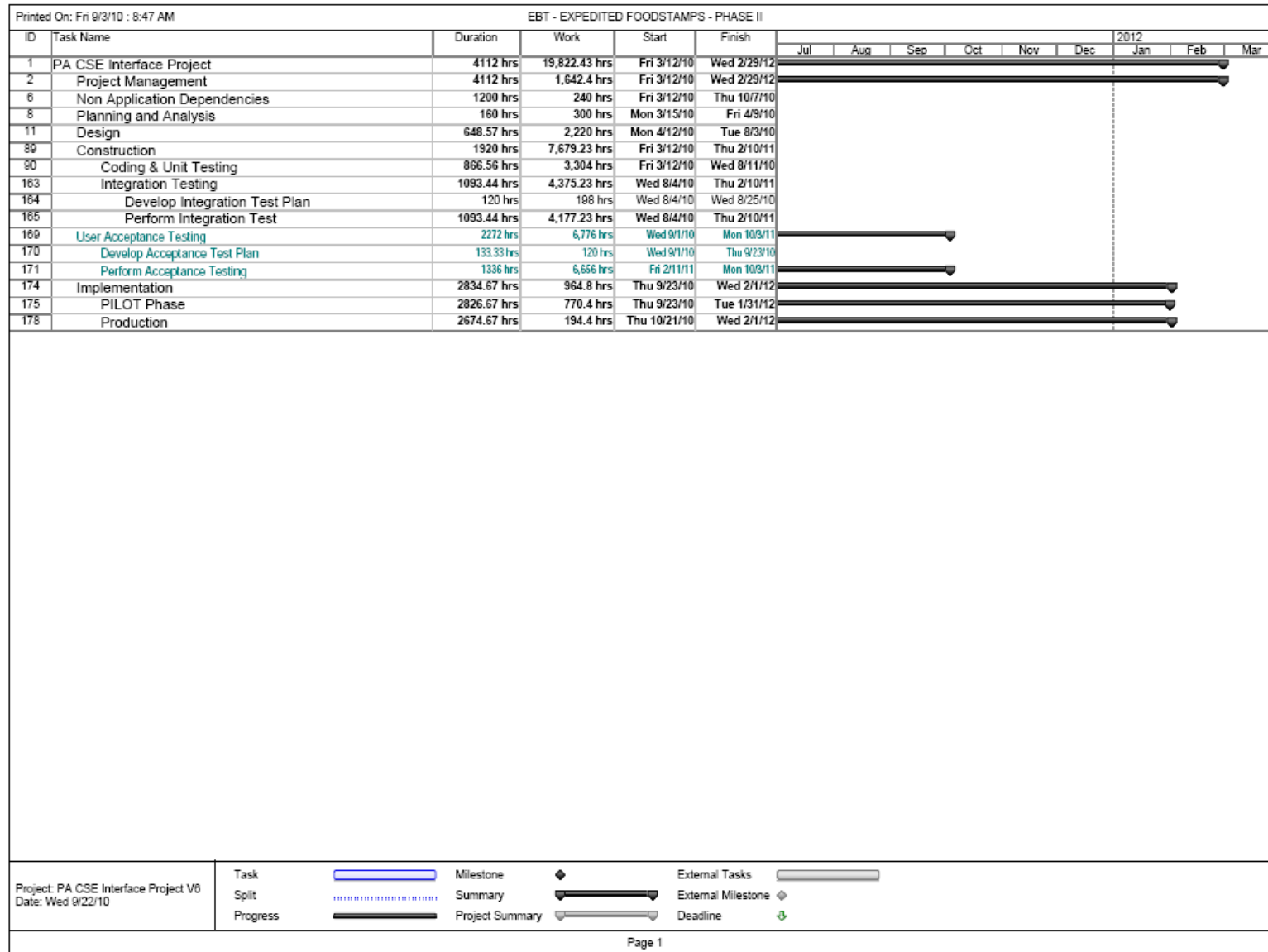
B. Work Breakdown Structure

The WBS below provides a summary level illustration of the work required to complete each of the improvements in this request. Upon initiation of the work, during the project scope planning process a detailed Work Breakdown Structure will be developed. The resulting WBS will divide all of the major project deliverables and work into smaller, detailed components.



**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

C. Resource Loaded Project Schedule



**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

CAMS Interfaces Changes Project -Deliverables			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Project Plan and Schedule	11/30/2009	100
2	Requirements Definition Document	12/15/2009	100
3	Detailed Design Document	12/30/2009	100
4	System Integration Test Plan and Scripts	10/1/2010	100
5	Application Software and Unit Test Plans	11/30/2010	100
6	System Integration Test Results - Approval	2/2/2011	0
7	User Acceptance Test Plan and Scripts	1/5/2011	0
8	User Acceptance Test Results- Approval	1/18/2012	0
9	Volume Test Plan	1/5/2011	0
10	Volume Test Results and Analysis	1/18/2012	0
11	Implementation Plan	1/18/2012	0
12	Roll Out Plan	2/1/2012	0
13	Application Software - Production Implementation	2/29/2012	0

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

D. Project Budget

The following project budget shows costs for FY 10-11 and for FY 11-12. At this time no additional post-implementation costs are shown. Although the department expects costs for mainframe services provided by the NSRC to increase after DOR leaves the FLORIDA mainframe environment, those cost estimates need to be revisited in light of ongoing data center consolidation activities at the NSRC, and therefore no post-implementation costs have been included.

Project Costs for <u>ACCESS Florida Support for CAMS</u>										Fiscal Year 2010-2011		
Produced R 40,129.00										For Children and Families		
										By Kathy Austin		
										FY 2010-11		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs: 8		\$307,200.00	\$0.00	\$333,100.00	\$0.00	\$283,900.00	\$0.00	\$208,000.00	\$0.00	\$1,132,200	\$0	\$1,132,200
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$307,200	\$0	\$333,100	\$0	\$283,900	\$0	\$208,000	\$0	\$1,132,200	\$0	\$1,132,200
Progress Payments										\$0	\$0	\$0

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

State of Florida
Schedule IV-B
IT Project Budget

Fiscal Year 2009-2010

Project Costs for <u>ACCESS Florida Support for CAMS</u>												
Produced R 40,129.00			For Children and Families			By Kathy Austin			FY 2010-11			
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

State of Florida
Schedule IV-B
IT Project Budget

Fiscal Year 2011-2012

Project Costs for <u>FLORIDA Support for DOR CAMS Project</u>												
Produced R 40,461.00			For Children and Families				By K. Austin		FY 2011-12			
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs--varies		\$337,336	\$0.00	\$81,878	\$0.00	\$41,016	\$0.00	\$0.00	\$0.00	\$480,200	\$0	\$480,200
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
NSRC Charges for DASD		\$0.00	\$0.00	\$82,466.00	\$0.00	\$41,233.00	\$0.00	\$0.00	\$0.00	\$123,699	\$0	\$123,699
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$337,336	\$0	\$164,344	\$0	\$82,246	\$0	\$0	\$0	\$583,899	\$0	\$583,899
Progress Payments										\$0	\$0	\$0

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

State of Florida
Schedule IV-B
IT Project Budget

Fiscal Year 2011-2012

Project Costs for FLORIDA Support for DOR CAMS Project												
Produced R 40,461.00			For Children and Families			By K. Austin			FY 2011-12			
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

E. Project Organization

The Department anticipates no special organizational requirements for these initiatives. Technical staff will report to current supervisors and managers, and the Department will not have to make any adjustments to current structures to support these initiatives

We do not anticipate any issues in supporting the Department of Revenue's CAMS project as staff from both DOR and DCF already have a long-standing and strong working relationship and will continue to work closely with each other through existing organizational structures.

F. Project Quality Control

There are no unique or additional quality control requirements for these initiatives. Existing formal and informal quality control processes and procedures will be followed. Unit level testing and System Integration testing will be conducted by the Information Technology Services staff members and User Acceptance Testing will be performed by staff from the ACCESS program office. In addition, volumetric testing (stress testing) to measure and ensure acceptable system performance based on department benchmarks will also be performed prior to implementation. DOR technical and program office staff will participate in all levels of testing (as has always been the practice with functionality that affects both agencies).

G. External Project Oversight

The Department does not anticipate a need for external project oversight. All projects are subject to routine review and audit by internal and external state and federal auditors on an as-needed basis.

The Department of Revenue already has IV&V in place for the CAMS Interface changes and the IV&V vendor has been participating in the Interface meetings.

We will continue to follow standard project management practices and conduct internal reviews to ensure we address and mitigate any risks before they impact any of these initiatives.

H. Risk Management

The Department will use established project risk management processes for these initiatives. The processes will include ongoing risk identification, risk analysis and risk planning to avoid and/or mitigate identified risks.

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
Contract staff scheduled to work on initiatives must be terminated due to lack of funding/ completion of initiative delayed or terminated prior to completion	Medium	Low	Secure funding to retain staff	ACCESS Program
Application design constraints/functionality does not work as anticipated	Low	Low	Frequent design reviews by system architecture expert	Project manager
Funds not available when needed/completion of initiative delayed, or terminated prior to completion	Medium	Low	Only begin work on initiative if there is sufficient funding to ensure completion	Information Technology Services Administrative Services
Changes to federal or state policies that govern the business processes/programming requirements require unanticipated programming changes during project	Low	High	Keep abreast of Legislative initiatives that pertain to policies of this project to identify changes as early as possible	ACCESS Program

I. Organizational Change Management

Changes to the PA/CSE interface to support the Department of Revenue's CAMS project will be mostly transparent to the user as they are mainly technical in nature. Any changes that need to be communicated to staff will be handled through established processes. There will be no need for special change management in support of this initiative.

J. Project Communication

Routine, established formal and informal project communication processes and procedures will be used to coordinate the planning, requirements analysis, design, construction, testing and implementation phases. All groups involved in this project will be working together and in constant communication during all phases of the work.

K. Special Authorization Requirements

The annual federal approvals necessary to cover the costs associated with this initiative has been requested and received.

VII. Appendices

Appendix A: Cost-Benefit Analysis Forms

Appendix B: IT Project Risk Assessment Tool

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

Appendix A: Cost-Benefit Analysis Forms

State of Florida TRW Cost Benefit Analysis	Fiscal Year 2010-2011 Cost Benefit Analysis Guidelines														
CBAForm 1 - Net Tangible Benefits	Agency <u>Children and Families</u> Project <u>Interface/CAMS</u>														
Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits - CBAForm 1A															
Agency (Operations Only -- No Project Costs)	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) - (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) - (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) - (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) - (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) - (b) New Program Costs resulting from Proposed Project
A. Personnel - Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. Specify		\$0			\$0			\$0			\$0			\$0	
F-2. Specify		\$0			\$0			\$0			\$0			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE - CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous <input type="checkbox"/>	Confidence Level		
Order of Magnitude <input type="checkbox"/>	Confidence Level		
Placeholder <input checked="" type="checkbox"/>	Confidence Level	100%	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

CBAForm 2 - Project Cost Analysis

Agency Children and Families

Project Interface/CAMS

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$1,132,200	\$460,200	\$0	\$0	\$0	\$1,592,400
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>NSRC Charge for</i>	\$0	\$123,699	\$0	\$0	\$0	\$123,699
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$1,132,200	\$583,899	\$0	\$0	\$0	\$1,716,099
CUMULATIVE PROJECT COSTS	\$1,132,200	\$1,716,099	\$1,716,099	\$1,716,099	\$1,716,099	
INVESTMENT SUMMARY	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$1,132,200	\$460,200	\$0	\$0	\$0	\$1,592,400
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$1,132,200	\$460,200	\$0	\$0	\$0	\$1,592,400
CUMULATIVE INVESTMENT (*)	\$1,132,200	\$1,592,400	\$1,592,400	\$1,592,400	\$1,592,400	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	10%
Placeholder <input type="checkbox"/>	Confidence Level	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA SYSTEM SUPPORT FOR DOR CAMS PROJECT**

State of Florida TRW Cost Benefit Analysis

Fiscal Year 2010-2011 Cost Benefit Analysis Guidelines

CBAForm 3 - Project Investment Summary

Agency	<u>Children and Families</u>	Project	<u>Interface/CAMS</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
Project Cost	\$1,132,200	\$583,899	\$0	\$0	\$0	\$1,716,099
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$1,132,200)	(\$583,899)	\$0	\$0	\$0	(\$1,716,099)
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$1,600,504)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Appendix B: IT Project Risk Assessment Tool

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Project	Interface/CAMS		
Agency	Department of Children & Families		
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:		
36220CO	ACCESS Florida Support for CAMS		
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):			
Kara O'Brien	410-3326	kara_o'bren@dcf.state.fl.us	
Executive Sponsor	Jennifer Lange		
Project Manager	Project Manager Name		
Prepared By	Kara O'Brien	9/22/2010	
Risk Assessment Summary			
Business Strategy	Most Aligned		
	Least Aligned		
	Least Risk	Level of Project Risk	Most Risk
Project Risk Area Breakdown			
Risk Assessment Areas			<i>Risk Exposure</i>
Strategic Assessment			MEDIUM
Technology Exposure Assessment			LOW
Organizational Change Management Assessment			MEDIUM
Communication Assessment			LOW
Fiscal Assessment			MEDIUM
Project Organization Assessment			MEDIUM
Project Management Assessment			LOW
Project Complexity Assessment			MEDIUM
Overall Project Risk			MEDIUM

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Department of Children & Families		Project: Interface/CAMS	
Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified and documented
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	All or nearly all
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Department of Children & Families		Project: Interface/CAMS	
Section 2 – Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Some relevant standards have been incorporated into the proposed technology
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Department of Children & Families		Project: Interface/CAMS	
Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes Moderate changes to organization structure, staff or business processes Minimal changes to organization structure, staff or business processes structure	Minimal changes to organization structure, staff or business processes structure
3.02	Will this project impact essential business processes?	Yes No	Yes
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented 41% to 80% -- Some process changes defined and documented 81% to 100% -- All or nearly all processes defined and documented	81% to 100% -- All or nearly all processes defined and documented
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes No	No
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change 1% to 10% FTE count change Less than 1% FTE count change	Less than 1% FTE count change
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change 1 to 10% contractor count change Less than 1% contractor count change	1 to 10% contractor count change
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information) Moderate changes Minor or no changes	Minor or no changes
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information Moderate changes Minor or no changes	Minor or no changes
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years) Recently completed project with fewer change requirements Recently completed project with similar change requirements Recently completed project with greater change requirements	Recently completed project with similar change requirements

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Agency Name		Project: Project Name	
Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Department of Children & Families		Project: Interface/CAMS	
Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% – None or few defined and documented	41% to 80% – Some defined and documented
		41% to 80% – Some defined and documented	
		81% to 100% – All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested and received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	All or nearly all project benefits have been identified and validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Time and Expense (T&E)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Department of Children & Families		Project: Interface/CAMS	
Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined Purchase all hardware and software at start of project to take advantage of one-time discounts Just-in-time purchasing of hardware and software is documented in the project schedule	Timing of major hardware and software purchases has not yet been determined
5.14	Has a contract manager been assigned to this project?	No contract manager assigned Contract manager is the procurement manager Contract manager is the project manager Contract manager assigned is not the procurement manager or the project manager	Contract manager assigned is not the procurement manager or the project manager
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes No	Yes
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified Some selection criteria and outcomes have been defined and documented All or nearly all selection criteria and expected outcomes have been defined and documented	All or nearly all selection criteria and expected outcomes have been defined and documented
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed Multi-stage evaluation not planned/used for procurement Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	Multi-stage evaluation not planned/used for procurement
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed No, bid response did/will not require proof of concept or prototype Yes, bid response did/will include proof of concept or prototype Not applicable	Not applicable

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: Interface/CAMS

Section 6 – Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated full-time to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: Interface/CAMS

Section 7 -- Project Management Area

#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	81% to 100% -- All or nearly all have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
		No	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: Interface/CAMS

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA IMPROVED CUSTOMER SERVICE DELIVERY THROUGH TECHNOLOGY**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: Interface/CAMS

Section 8 – Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Less complex
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	3 sites or fewer
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	5 to 8
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	1
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Business Process Reengineering
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

**DEPARTMENT OF CHILDREN AND
FAMILIES**

**SCHEDULE IV-B
FOR
ACCESS RESTORATION OF BASE
FUNDING
FOR
FISCAL YEAR 2011-12**



State of Florida

The Florida Legislature

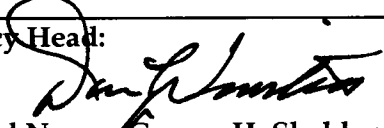


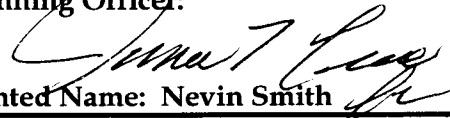
Governor's Office of Policy and Budget

October 15, 2010

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	B. Work Breakdown Structure.....	6
	C. Resource Loaded Project Schedule.....	6
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I. Schedule IV-B Cover Sheet

Agency: Children and Families	Schedule IV-B Submission Date: October 15, 2010
Project Name: ACCESS Restoration of Base Funding	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2011-12 LBR Issue Code: 36201C0	FY 2011-12 LBR Issue Title: ACCESS Restoration of Base Funding
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz 487-8902 lori_schultz@dcf.state.fl.us	
<p>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.</p>	
Agency Head:  Printed Name: George H. Sheldon	Date: 10/13/2010
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Budget Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Planning Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Project Sponsor: Kara O'Brien for Jennifer Lange Printed Name: Jennifer Lange	Date: 10.13.2010
Business Need:	Not Required
Cost Benefit Analysis:	Not Required
Risk Analysis:	Kara O'Brien & Jon Croft
Technology Planning:	
Project Planning:	Kathy Austin & Jon Croft

II. Schedule IV-B Business Case

Not Required.

III. Schedule IV-B Cost Benefit Analysis

Not Required.

IV. Major Project Risk Assessment Component

The risk assessment completed for this study indicates the overall risk is HIGH. The complete IT Project Risk Assessment Tool is in the Appendix to this document.

Project	ACCESS Base Funding Restoration	
Agency	Children and Families	
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:	
36201C0	Automated Community Connection to	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us		
Executive Sponsor	Jennifer Lange	
Project Manager	Jon Croft	
Prepared By	Kara O'Brien	10/11/2010
Risk Assessment Summary		
Business Strategy		
	Level of Project Risk	
Project Risk Area Breakdown		
Risk Assessment Areas		Risk Exposure
Strategic Assessment		MEDIUM
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		MEDIUM
Communication Assessment		HIGH
Fiscal Assessment		MEDIUM
Project Organization Assessment		MEDIUM
Project Management Assessment		MEDIUM
Project Complexity Assessment		MEDIUM
Overall Project Risk		HIGH

The main concern with this project is that a communication plan has not yet been established. At the time the projects to be completed with this funding are identified and documented, the communication plan will be established.

V. Technology Planning Component

At the present time, we anticipate that the Northwood Shared Resource Center (NSRC) has sufficient resources to support this initiative for FY 11-12, but may need additional resources in subsequent years depending on the finalized list of changes to be made. The Department will continue to work with the NSRC to determine potential impact.

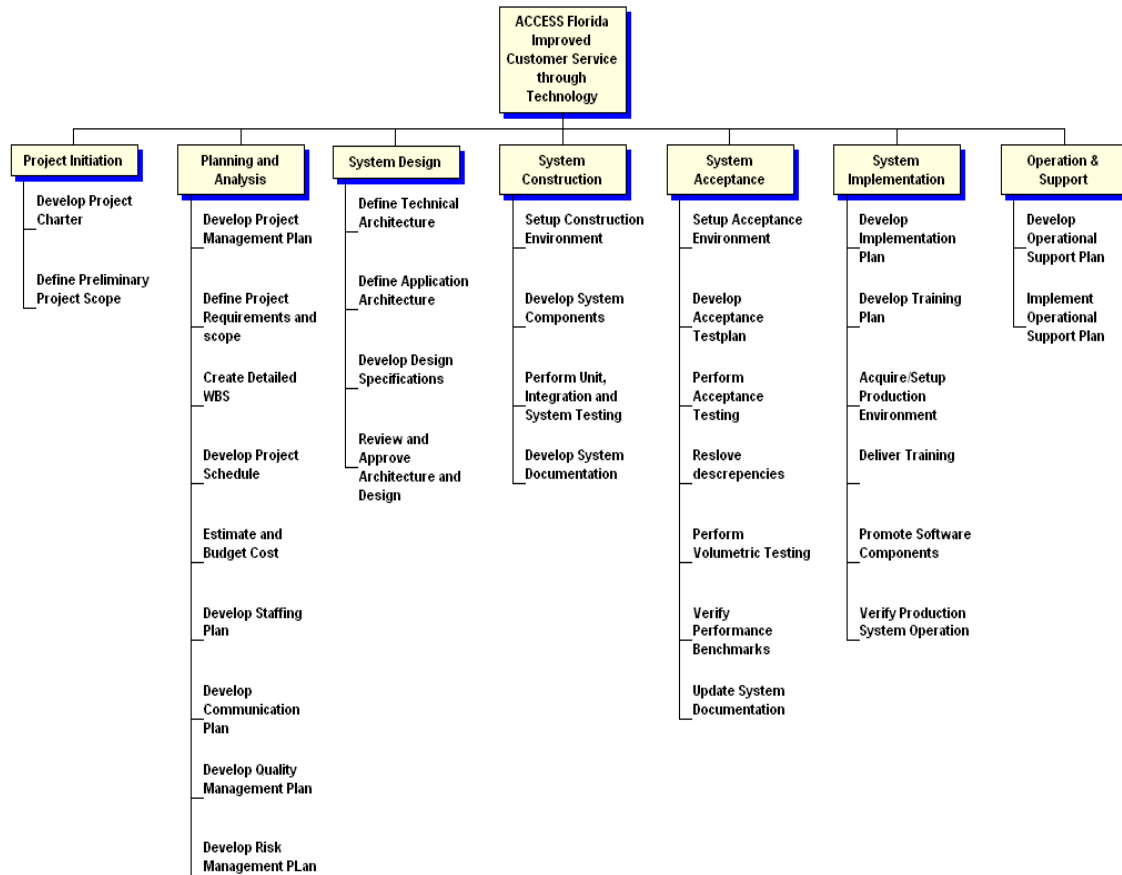
VI. Project Management Planning Component

A. Project Charter

Prior to beginning each initiative, an Information Systems Service Request (ISSR) is developed for each initiative. The ISSRs document the business needs and characteristics of the requested improvements and are approved by the ACCESS Program Office and Information Technology Services management teams. The approved ISSRs serve as the Project Charter.

B. Work Breakdown Structure

The WBS below provides a summary level illustration of the work required to complete each of the improvements in this request. Upon initiation of the work, during the project scope planning process a detailed Work Breakdown Structure will be developed. The resulting WBS will divide all of the major project deliverables and work into smaller, detailed components.



C. Resource Loaded Project Schedule

Project schedules will be determined when the projects to be completed with this funding have been identified.

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA BASE FUNDING RESTORATION**

D. Project Budget

State of Florida Schedule IV-B Project Budget Spreadsheet										Fiscal Year 2011-2012		
Project Costs for <u>ACCESS Restoration of Base Funding</u>												
Produced R 40,462.00				For Children and Families				By K. Austin		FY 2011-12		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs-varies		\$250,000.00	\$0.00	\$250,000.00	\$0.00	\$250,000.00	\$0.00	\$250,000.00	\$0.00	\$1,000,000	\$0	\$1,000,000
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$250,000	\$0	\$250,000	\$0	\$250,000	\$0	\$250,000	\$0	\$1,000,000	\$0	\$1,000,000
Progress Payments										\$0	\$0	\$0

State of Florida Schedule IV-B IT Project Budget										Fiscal Year 2011-2012		
Project Costs for <u>ACCESS Restoration of Base Funding</u>												
Produced R 40,462.00				For Children and Families				By K. Austin		FY 2011-12		
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

VII. Appendices

Appendix 1: Risk Assessment

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Project	ACCESS Base Funding Restoration		
Agency	Children and Families		
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:		
36201C0	Automated Community Connection to		
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):			
Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us			
Executive Sponsor	Jennifer Lange		
Project Manager	Jon Croft		
Prepared By	Kara O'Brien	10/11/2010	
Risk Assessment Summary			
Business Strategy			
	Least Aligned	Most Aligned	Most Risk
Level of Project Risk			
Least Risk			Most Risk
Project Risk Area Breakdown			
Risk Assessment Areas			Risk Exposure
Strategic Assessment			MEDIUM
Technology Exposure Assessment			LOW
Organizational Change Management Assessment			MEDIUM
Communication Assessment			HIGH
Fiscal Assessment			MEDIUM
Project Organization Assessment			MEDIUM
Project Management Assessment			MEDIUM
Project Complexity Assessment			MEDIUM
Overall Project Risk			HIGH

File: RiskAssessment_FY11-12_ACCESS Base Funding Issue 36201C0.xls
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 Template Version 2.0

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA BASE FUNDING RESTORATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Base Funding Restoration

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified and documented
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Some
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Moderate external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA BASE FUNDING RESTORATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Base Funding Restoration

Section 2 – Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
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Project: ACCESS Base Funding Restoration

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Moderate changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
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Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Routine feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
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IT Project Risk Assessment Tool

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Agency: Children and Families

Project: ACCESS Base Funding Restoration

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$500K and \$1,999,999
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude -- estimate could vary between 10-100%
		Order of magnitude -- estimate could vary between 10-100%	
		Placeholder -- actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from other state agencies
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested and received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 1 year
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

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**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA BASE FUNDING RESTORATION**

IT Project Risk Assessment Tool

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Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Base Funding Restoration

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware and software purchases has not yet been determined
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
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IT Project Risk Assessment Tool

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Fiscal Year 2011-2012

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Project: ACCESS Base Funding Restoration

Section 6 – Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated full-time to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

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Project: ACCESS Base Funding Restoration

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS FLORIDA BASE FUNDING RESTORATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Base Funding Restoration

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	No or informal processes are used for status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

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Section 8 – Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	9 to 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	2 to 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Business Process Reengineering
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

DEPARTMENT OF CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

ACCESS FLORIDA FEDERAL MANDATES

FOR

FISCAL YEAR 2011-12



State of Florida

The Florida Legislature

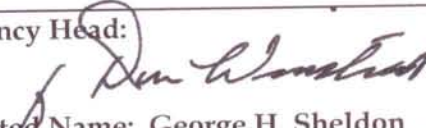
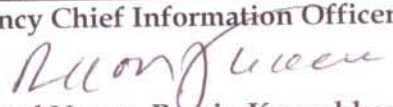
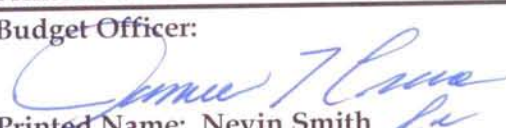
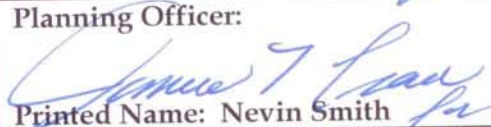

Governor's Office of Policy and Budget

October 15, 2010

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 15, 2010
Project Name: Federal Mandates	Is this project included in the Agency's LRPP? X Yes ___ No
FY 2011-12 LBR Issue Code: 36202C0	FY 2011-12 LBR Issue Title: Automated Community Connection to Economic Self-Sufficiency (ACCESS) Florida Federal Mandates
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz 487-8902 lori_schultz@dcf.state.fl.us	
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: George H. Sheldon	Date: 10/13/2010
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Budget Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Planning Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Project Sponsor:  Printed Name: Jennifer Lange	Date: 10.13.2010
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us
Cost Benefit Analysis:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us
Risk Analysis:	Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us Jon Croft 921-5472 jon_croft@dcf.state.fl.us
Technology Planning:	
Project Planning:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Jon Croft 921-5472 jon_croft@dcf.state.fl.us

II. Schedule IV-B Business Case

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

ACCESS Florida (Automated Community Connections to Economic Self Sufficiency, formerly known as the Economic Self-Sufficiency Programs), is the Department's retooled and modernized public assistance service delivery program. This model is based on streamlined workflows, policy simplification and technology innovations. ACCESS Florida provides enhanced access to services through a combination of state staff and a community partnership network as community providers agree to serve as additional portals to ESS services for clients mutually served by the partner agency and the Department of Children and Families.

This modernized system offers self-directed opportunities and 24/7 service. This model reduces the investment of time required by customers to apply for or continue receiving public assistance. Many of our customers are employed or under-employed and often cannot afford to take time off their job to participate in the eligibility process. By streamlining program efficiency and providing new levels of access and technological support, customers may achieve new levels of self sufficiency.

The ACCESS program provides the following services to the citizens of Florida:

- **Temporary Cash Assistance** provides cash assistance to families with children under the age of 18 or under the age of 19 if full time secondary school students that meet the technical, income, and asset requirements. The program helps families become self-supporting while allowing children to remain in their own homes.
- **Food Stamps** (now known as SNAP) helps low-income individuals and families that meet the technical, income and asset requirements of the program to buy the food they need for good health.
- **Medicaid** provides medical coverage to low-income individuals and families that meet the technical, income and asset requirements of the program. The Agency for Health Care Administration administers Medicaid services, while the Department of Children and Families determines Medicaid eligibility.

2. Business Objectives

Limited English Proficiency (LEP): This enhancement will ensure that households with limited English proficiency are provided services in accordance with federal regulations by providing applications, notices, and information in additional languages. Implementation will also resolve repeat findings from USDA management evaluations.

Asset Verification System (AVS): This enhancement will assist the Department in verifying assets of aged, blind and/or disabled individuals receiving or applying for Medicaid benefits, as well as the assets of other individuals whose assets are required by law to be considered. Identification of assets will reduce Medicaid eligibility errors and avoid payment for services to ineligible individuals.

B. Baseline Analysis

1. Current Business Process Requirements

Limited English Proficiency (LEP): Federal regulations at 7CFR Part 272.4(b) require the

department to provide Food Assistance Program (formerly Food Stamps) certification materials and staff or interpreters in certification offices in order to provide language services in areas containing approximately 100 or more single-language minority low-income households. Certification materials include the application form, the change report form, and notices to the household (including hearing notices).

A 2009 United States Department of Agriculture (USDA) management evaluation found that the department did not meet these federal requirements. Interpreter services are provided to all Limited English Proficiency (LEP) households throughout the state through the use of bilingual staff and The Language Line; however, notices are only translated into Spanish and Creole. In response to the management evaluation the department performed an assessment of language needs throughout the state. Based on that assessment, certification materials need to be provided in the following additional languages:

- --Portuguese,
- --French,
- --Vietnamese,
- --Chinese,
- --Italian,
- --Serbo-Croatian, and
- --Russian.

USDA can impose fiscal sanctions if the department does not resolve this finding.

Asset Verification System (AVS): Changes to Title XIX of the Social Security Act require the Department to implement an automated Asset Verification System (AVS) to verify the assets of aged, blind or disabled Medicaid applicants and recipients (and other individuals whose assets are required by law). Implementation of each state's Asset Verification System is phased in over time as specified in the federal legislation. Florida has been assigned to FFY 2012 and will contract with an outside vendor to develop and provide an AVS.

The Centers for Medicare and Medicaid Services (CMS) is authorized to withhold federal matching payments from noncompliant states.

2. Assumptions and Constraints

- DCF is dependent on the Northwood Shared Resource Center (NSRC) to provide sufficient hardware resources to support these initiatives. The successful implementation of these changes relies on the NSRC receiving additional resources to support other enhancements to the ACCESS Florida suite of applications currently under way during FY 10-11. If those resources are obtained, they can also support these enhancements. If those resources are not obtained, then the NSRC will need additional resources to support this initiative. Without additional resources, these changes cannot be implemented.
- The ACCESS program must contract with external sources for translation of documents and screens.
- At this point and until the translations have been completed, the exact number of font sets (potentially more than one font set for a particular language) that the department may need to purchase will not be known.
- There are no known software licensing costs associated with supporting the additional languages.
- The outside vendor currently responsible for notice printing will be able to support printing notices in the additional languages.

C. Proposed Business Process Requirements

1. Proposed Business Process

Limited English Proficiency (LEP): The department will have the ACCESS web application, My ACCESS Account, client notices, and informational forms translated into 7 additional languages. Applicants/recipients will be able to designate a language preference and have screens, notices, and forms provided in the chosen language.

Asset Verification System (AVS): The department will work with an external service provider that will interface with various financial institutions in an attempt to discover undisclosed assets. The ACCESS Management System (AMS) will send requests to the AVS service provider for asset verification for applicable individuals and receive data from the AVS service provider in return. Any information on assets identified would be provided to staff for use in determining eligibility for benefits. The department must be able to generate reports regarding activities/information received through the AVS. The specifics for the reports have not been finalized yet by CMS.

2. Business Solution Alternatives

Limited English Proficiency (LEP): The alternative solution is to continue business as usual, with applications, screens, forms, notices and other documents available only in Spanish and Creole.

Asset Verification System (AVS): The alternative solution is for the department to build its own AVS system instead of using a service provider. This would require defining, creating, and maintaining electronic interfaces with thousands of financial institutions across the country.

3. Rationale for Selection

Limited English Proficiency (LEP): The department needs to resolve the audit finding from the USDA management evaluation and come into compliance with federal regulatory requirements.

Asset Verification System (AVS): The department feels that using an external vendor to execute the search for asset information at numerous financial institutions nationwide would be more cost effective. Trying to develop and maintain an internal system would be cost- and time-prohibitive, and, since all states are being required to implement this verification requirement, would unnecessarily duplicate services already available from the private sector.

4. Recommended Business Solution

The department recommends moving forward with the implementation of the 7 additional languages and the utilization of an external service provider to

III. Schedule IV-B Cost Benefit Analysis

A. Benefits Realization Table

The table on the following page presents the benefits that will be realized from the successful completion of the initiatives anticipated to be completed.

The potential exists for some tangible benefits (cost avoidance and reduction in benefits to ineligible individuals) associated with the Asset Verification System based on the experience of one company currently conducting verifications for Supplemental Security Income (SSI) applicants in New York and New Jersey. Based on available information, the AVS resulted in identifying undisclosed assets in approximately 20% of applicants, and indicated that the Social Security Administration's (SSA) Office of Quality Performance "...concluded that 6.9% of the cases processed were found ineligible as a result of excess resources discovered by...AVS. " At this time the department is trying to determine if those results can be reasonably transferred to the state program, and if so, to determine any amount of tangible benefits that could be projected to occur. Until that analysis is complete and a determination of applicability has been made, that benefit will be identified as intangible. If SSA's results are not applicable, then the tangible benefits will not be known until after the project has been implemented and our own data can be gathered.

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

BENEFITS REALIZATION TABLE					
Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
Individuals who do not speak or read the three languages currently available (English, Spanish, Creole) able to complete application and receive notices in native languages (LEP)	Intangible	Applicants for and recipients of public assistance benefits	Ability to obtain application and notices in native language	Number of individuals who choose language other than English, Spanish or Creole	05/2012
Identification of undisclosed assets that affect eligibility for Medicaid benefits for Aged, Blind and Disabled applicants and recipients (AVS)	Intangible (see discussion above)	DCF	Ability to make more accurate determination of eligibility for benefits	Determination of number of individuals failing to appropriately disclose assets affecting eligibility	07/2012

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

B. Cost-Benefit Analysis Forms

The complete set of Cost-Benefit Analysis (CBA) forms is located in Appendix A.

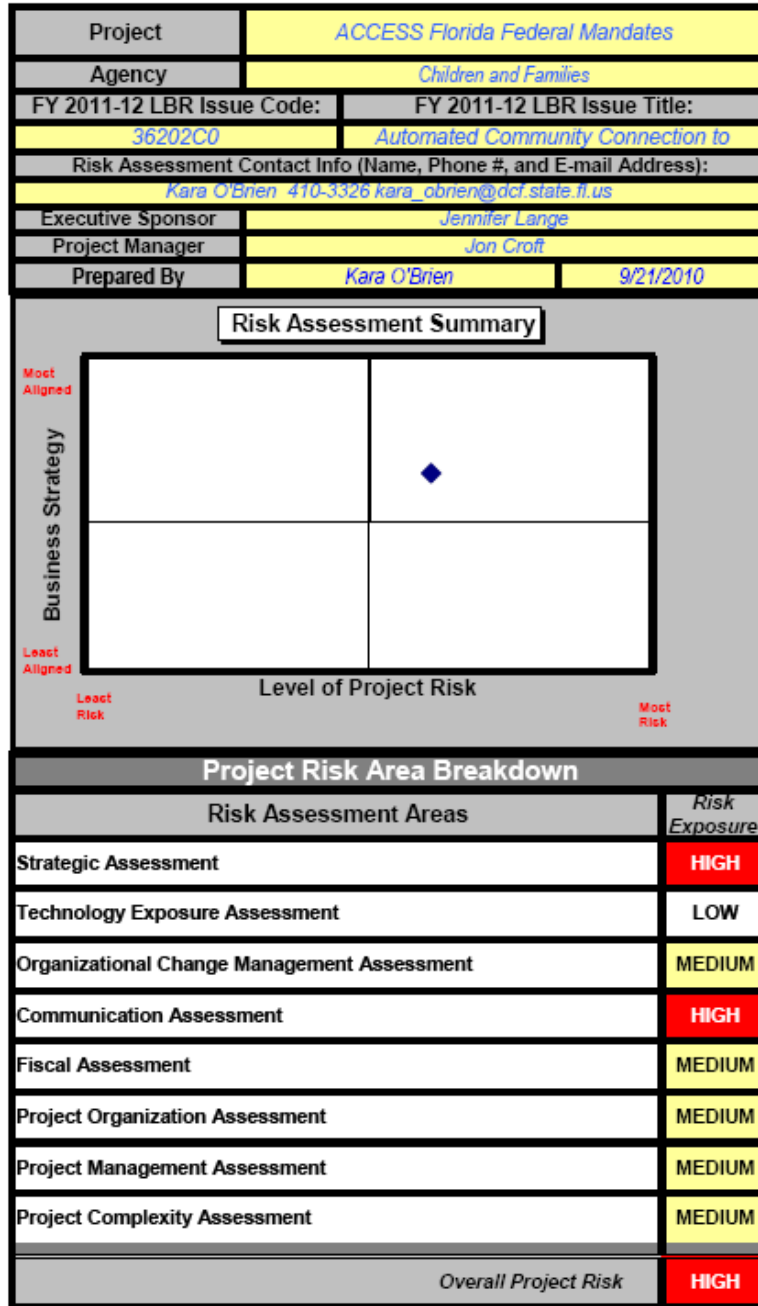
State of Florida TRW Cost Benefit Analysis		Fiscal Year 2011-2012 Cost Benefit Analysis Guidelines				
CBAForm 3 - Project Investment Summary		Agency <u>Children and Families</u>		Project <u>ACCESS Federal Mandates</u>		
COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
Project Cost	\$2,719,000	\$0	\$0	\$0	\$0	\$2,719,000
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$2,719,000)	\$0	\$0	\$0	\$0	(\$2,719,000)
Year to Year Change in Program Staffing	0	0	0	0	0	
RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B						
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.				
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.				
Net Present Value (NPV)	(\$2,580,921)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.				
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.				
Treasurer's Investment Interest Earning Yield -- CBAForm 3C						
Fiscal Year	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%	

At this point in time there is no projected payback period for these enhancements.

IV. Major Project Risk Assessment Component

A. Risk Assessment Summary

The overall risk assessment for this project at this time is HIGH.



The complete Project Risk Summary Charts are included in Appendix B.

The main risks associated with this project are (1) that an external vendor will be used to actually complete the matching required for the Asset Verification System and exact requirements are unknown until a specific vendor has been selected and (2) that a detailed communication plan has not yet been approved for this project. As the project progresses and the vendor is selected, the department will require a successful pilot before paying the external vendor. The communication plan will be approved as the project gets under way.

Section VI, Project Management Planning Component contains risk mitigation strategies.

V. Technology Planning Component

Based on information from the NSRC, additional resources will be required. The resources that will enable implementation of these changes have been requested in other budget issues to support changes scheduled for implementation at the end of FY 2010-11. If those resources are forthcoming, the NSRC will be able to support implementation of this project as well. If those resources are not forthcoming, then the NSRC will need additional resources in order for the department to implement this project. We are currently working with NSRC to complete a capacity plan.

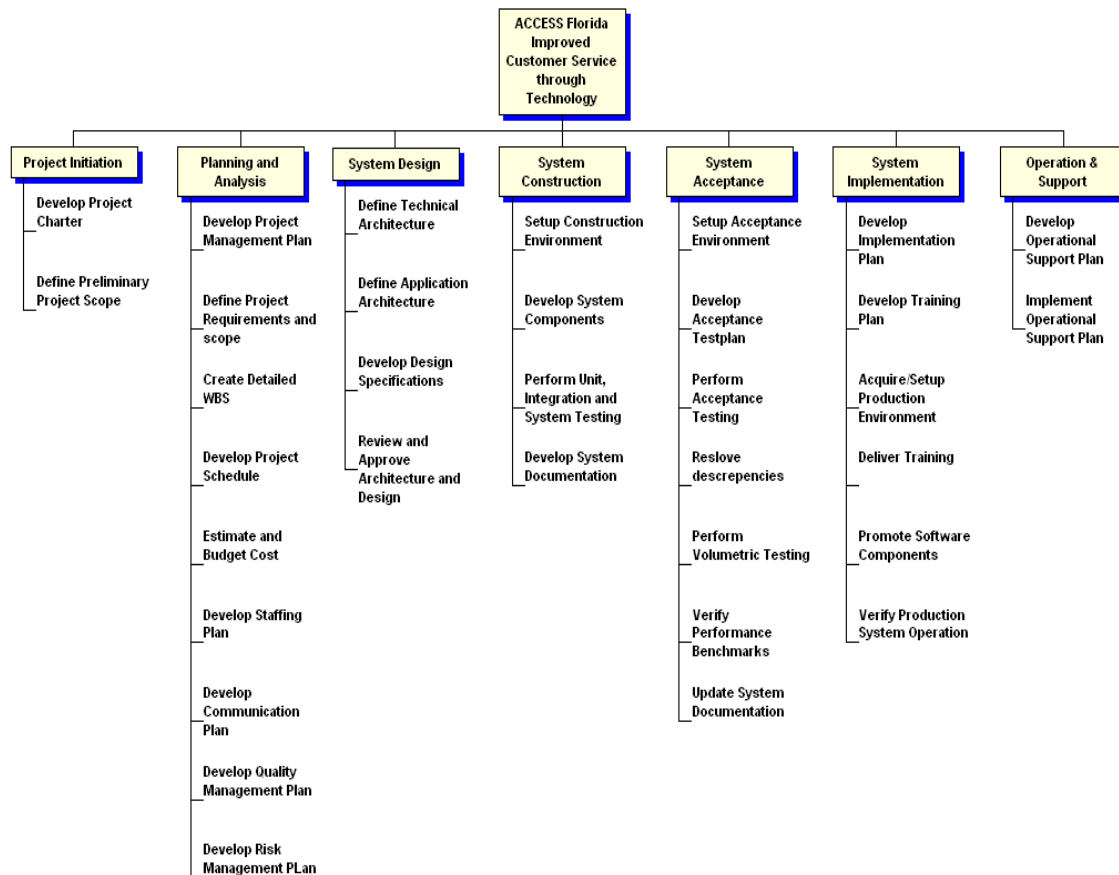
VI. Project Management Planning Component

A. Project Charter

Prior to beginning each initiative, an Information Systems Service Request (ISSR) is developed for each initiative. The ISSRs document the business needs and characteristics of the requested improvements and are approved by the ACCESS Program Office and Information Technology Services management teams. The approved ISSRs serve as the Project Charter.

B. Work Breakdown Structure

The WBS below provides a summary level illustration of the work required to complete each of the improvements in this request. Upon initiation of the work, during the project scope planning process a detailed Work Breakdown Structure will be developed. The resulting WBS will divide all of the major project deliverables and work into smaller, detailed components.



C. Resource Loaded Project Schedule

The FY 2011-12 Project Schedules for each initiative are included in Appendix C. Also included with each project schedule is a list of deliverables.

D. Project Budget

The FY 2011-12 Project Budget is included in Appendix D. The department does not anticipate any significant increase in NSRC charges due to the implementation of these changes. The ACCESS program office will incur additional recurring costs (unknown at this time) for contracting with the vendor performing the AVS function and will be responsible for funding of that activity.

Original cost estimate for programming is 22,420 hours at a cost of \$2,242,000. Based on revised information we believe the project budget for programming may increase to 27,160 hours at a

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

cost of \$2,716,000, a difference of \$474,000. We are currently evaluating whether to reprioritize existing resources to cover this difference or to revise this issue to request additional resources in the supplemental budget request.

E. Project Organization

The Department anticipates no special organizational requirements for these initiatives. Technical staff will report to current supervisors and managers, and the Department will not have to make any adjustments to current structures to support these initiatives.

F. Project Quality Control

There are no special quality control requirements for these initiatives. Existing formal and informal quality control processes and procedures will be followed. Unit level testing and System Integration testing will be conducted by the Information Technology Services staff members and User Acceptance Testing will be performed by staff from the ACCESS program office.

In addition, volumetric testing (stress testing) to measure and ensure acceptable system performance based on Department benchmarks will also be performed prior to the implementation.

G. External Project Oversight

These initiatives are subject to routine review and audit by internal and external state and federal auditors on an as-needed basis.

We will continue to follow standard project management practices and conduct internal reviews to ensure we address and mitigate any risks before they impact any of these initiatives.

H. Risk Management

The Department will use established project risk management processes for these initiatives. The processes will include ongoing risk identification, risk analysis and risk planning to avoid and/or mitigate identified risks.

The table on the following page identifies the risks most likely to impact the Department's ability to complete the modernization initiatives as planned.

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
Experienced contract staff scheduled to work on initiatives must be terminated due to lack of funding/ completion of one or more initiatives delayed or terminated prior to completion	Medium	Low	Secure funding to retain experienced staff	ACCESS Program
Application design constraints/functionality does not work as anticipated	Low	Low	Frequent design reviews by system architecture expert	Project manager
Funds not available when needed/completion of one or more initiatives delayed or terminated prior to completion	Medium	Low	Prioritize initiatives and only begin work on initiative if there is sufficient funding to ensure completion	Information Technology Services Administrative Services
Changes to federal or state policies that govern the business processes/programming requirements must be adjusted to conform to change in policies	Low	High	Keep abreast of Legislative initiatives that pertain to policies incorporated in this project to identify changes as early as possible	ACCESS Program
NSRC must have sufficient resources to support implementation of these changes/ changes cannot be implemented, initiatives are delayed beyond federally mandated deadlines, and department is out of compliance with federal requirements	High	Low	NSRC must be proactive in finding ways to obtain necessary infrastructure to support customer needs	NSRC Director

I. Organizational Change Management

As these changes progress, the Department will determine the level of training needed by either customers or staff. Changes that affect customers will be communicated by email for individuals who have provided the Department with a valid email address; it will be necessary to add appropriate language to customer notices for other individuals. Each change will be reflected in online help functionality. Any changes that require face-to-face training will be handled through normal training processes. Other system changes will be shared with staff in writing and/or online training as appropriate.

J. Project Communication

Routine, established formal and informal project communication processes and procedures will be used to coordinate the planning, requirements analysis, design, construction, testing and implementation phases. All groups involved in will be working together and in constant communication during all phases of the work.

K. Special Authorization Requirements

No prior approvals are needed from federal agencies for this project.

VII. Appendices

Appendix A: Cost-Benefit Analysis Forms

Appendix B: IT Project Risk Assessment Tool

Appendix C: Project Plans

Appendix D: Project Budget

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

Appendix A: Cost-Benefit Analysis Forms

State of Florida TRW Cost Benefit Analysis

Fiscal Year 2011-2012 Cost Benefit Analysis Guidelines

CBAForm 1 - Net Tangible Benefits

Agency Children and Families

Project ACCESS Federal Mandates

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits - CBAForm 1A															
Agency (Operations Only -- No Project Costs)	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15			FY 2015-16		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel - Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE - CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	10%
Placeholder <input type="checkbox"/>	Confidence Level	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

State of Florida TRW Cost Benefit Analysis

Fiscal Year 2011-2012 Cost Benefit Analysis Guidelines

CBAForm 2 - Project Cost Analysis

Agency	<u>Children and Families</u>	Project	<u>ACCESS Federal Mandates</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$2,718,000	\$0	\$0	\$0	\$0	\$2,718,000
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$3,000	\$0	\$0	\$0	\$0	\$3,000
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$2,719,000	\$0	\$0	\$0	\$0	\$2,719,000
CUMULATIVE PROJECT COSTS	\$2,719,000	\$2,719,000	\$2,719,000	\$2,719,000	\$2,719,000	\$2,719,000

INVESTMENT SUMMARY						TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
General Revenue	\$1,359,500	\$0	\$0	\$0	\$0	\$1,359,500
Trust Fund	\$1,359,500	\$0	\$0	\$0	\$0	\$1,359,500
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$2,719,000	\$0	\$0	\$0	\$0	\$2,719,000
CUMULATIVE INVESTMENT (*)	\$2,719,000	\$2,719,000	\$2,719,000	\$2,719,000	\$2,719,000	\$2,719,000

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	10%
Placeholder <input type="checkbox"/>	Confidence Level	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

State of Florida TRW Cost Benefit Analysis

Fiscal Year 2011-2012 Cost Benefit Analysis Guidelines

CBAForm 3 - Project Investment Summary

Agency Children and Families Project ACCESS Federal Mandates

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
Project Cost	\$2,719,000	\$0	\$0	\$0	\$0	\$2,719,000
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$2,719,000)	\$0	\$0	\$0	\$0	(\$2,719,000)
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$2,580,921)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Appendix B: IT Project Risk Assessment Tool

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Project	ACCESS Florida Federal Mandates		
Agency	Children and Families		
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:		
36202C0	Automated Community Connection to		
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):			
Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us			
Executive Sponsor	Jennifer Lange		
Project Manager	Jon Croft		
Prepared By	Kara O'Brien	9/21/2010	
Risk Assessment Summary			
Business Strategy	Most Aligned		Least Risk
	Least Aligned		
Project Risk Area Breakdown			
Risk Assessment Areas			<i>Risk Exposure</i>
Strategic Assessment			HIGH
Technology Exposure Assessment			LOW
Organizational Change Management Assessment			MEDIUM
Communication Assessment			HIGH
Fiscal Assessment			MEDIUM
Project Organization Assessment			MEDIUM
Project Management Assessment			MEDIUM
Project Complexity Assessment			MEDIUM
<i>Overall Project Risk</i>			HIGH

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified in concept only
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Some
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 2 – Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Some relevant standards have been incorporated into the proposed technology
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes Moderate changes to organization structure, staff or business processes Minimal changes to organization structure, staff or business processes structure	Minimal changes to organization structure, staff or business processes structure
3.02	Will this project impact essential business processes?	Yes No	No
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented 41% to 80% -- Some process changes defined and documented 81% to 100% -- All or nearly all processes defined and documented	81% to 100% -- All or nearly all processes defined and documented
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes No	No
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change 1% to 10% FTE count change Less than 1% FTE count change	Less than 1% FTE count change
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change 1 to 10% contractor count change Less than 1% contractor count change	Less than 1% contractor count change
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information) Moderate changes Minor or no changes	Extensive change or new way of providing/receiving services or information)
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information Moderate changes Minor or no changes	Minor or no changes
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years) Recently completed project with fewer change requirements Recently completed project with similar change requirements Recently completed project with greater change requirements	Recently completed project with greater change requirements

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Routine feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% – None or few defined and documented	81% to 100% – All or nearly all defined and documented
		41% to 80% – Some defined and documented	
		81% to 100% – All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	All or nearly all project benefits have been identified and validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 1 year
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Procurement strategy has not been identified and documented
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

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 Template Version 2.0

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

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Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 6 – Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

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Fiscal Year 2011-2012

Agency: Children and Families

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Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	None or few have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	No sign-off required
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	

IT Project Risk Assessment Tool

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Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	None or few have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

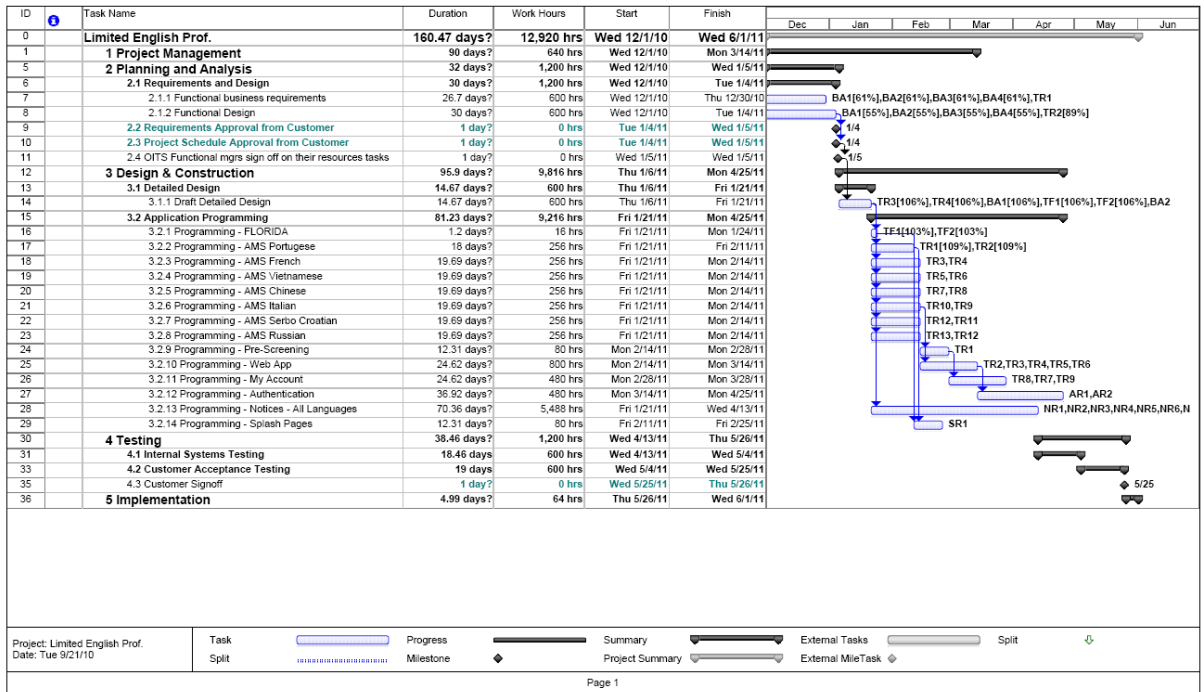
Agency: Children and Families

Project: ACCESS Florida Federal Mandates

Section 8 – Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Less complex
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	No external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	5 to 8
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

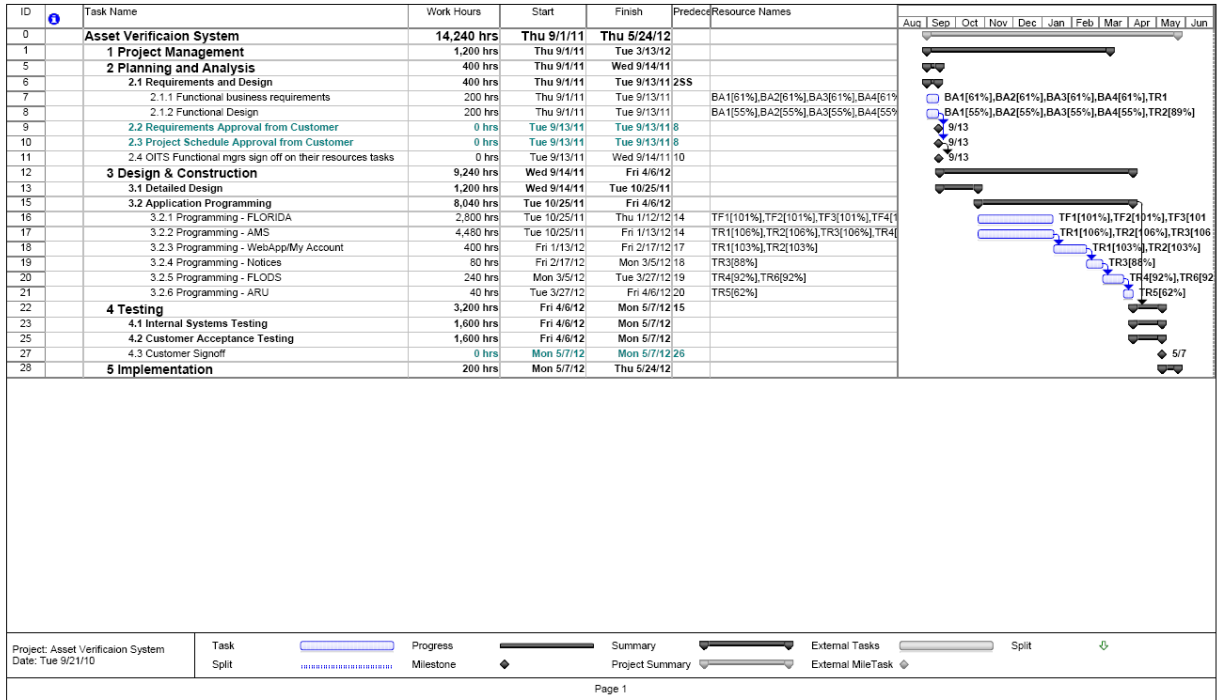
SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

Appendix C: Project Plans



Limited English Proficiency			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Project Plan and Schedule	1/5/2011	0
2	Requirements Definition Document	1/5/2011	0
3	Detailed Design Document	1/21/2011	0
4	System Integration Test Plan and Scripts	3/15/2011	0
5	Application Software and Unit Test Plans	3/15/2011	0
6	System Integration Test Results - Approval	5/4/2011	0
7	User Acceptance Test Plan and Scripts	4/1/2011	0
8	User Acceptance Test Results- Approval	5/25/2011	0
9	Volume Test Plan	4/1/2011	0
10	Volume Test Results and Analysis	5/25/2011	0
11	Implementation Plan	2/15/2011	0
12	Roll Out Plan	5/1/2011	0
13	Application Software - Production Implementation	6/1/2011	0

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES



Access Verification System			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Project Plan and Schedule	9/13/2011	0
2	Requirements Definition Document	9/13/2011	0
3	Detailed Design Document	10/25/2011	0
4	System Integration Test Plan and Scripts	3/1/2011	0
5	Application Software and Unit Test Plans	3/1/2011	0
6	System Integration Test Results - Approval	5/7/2011	0
7	User Acceptance Test Plan and Scripts	3/1/2011	0
8	User Acceptance Test Results- Approval	5/7/2011	0
9	Volume Test Plan	3/1/2011	0
10	Volume Test Results and Analysis	5/7/2011	0
11	Implementation Plan	4/30/2011	0
12	Roll Out Plan	4/30/2011	0
13	Application Software - Production Implementation	5/24/2011	0

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

Appendix D: Project Budget

State of Florida
Schedule IV-B
Project Budget Spreadsheet

Fiscal Year 2011-2012

Project Costs for ACCESS Federal Mandates												
Produced R 40,461.00			For Children and Families				By K. Austin		FY 2011-12			
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs--varies		\$113,380.00	\$0.00	\$869,683.00	\$0.00	\$1,159,497.00	\$0.00	\$573,440.00	\$0.00	\$2,716,000	\$0	\$2,716,000
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$113,380	\$0	\$869,683	\$0	\$1,159,497	\$0	\$573,440	\$0	\$2,716,000	\$0	\$2,716,000
Progress Payments										\$0	\$0	\$0

SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA FEDERAL MANDATES

State of Florida
Schedule IV-B
IT Project Budget

Fiscal Year 2011-2012

Project Costs for ACCESS Federal Mandates												
Produced R 40,461.00			For Children and Families				By K. Austin			FY 2011-12		
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

REMOTE DATA CAPTURE FOR CHILD

PROTECTIVE INVESTIGATORS

FOR

FISCAL YEAR 2011-12



State of Florida

The Florida Legislature

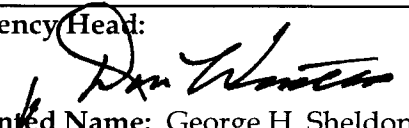
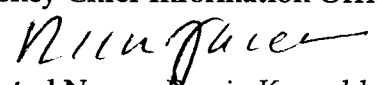

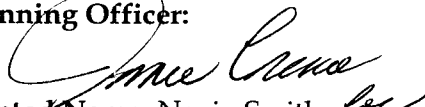

Governor's Office of Policy and Budget

October 15, 2010

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I. Schedule IV-B Cover Sheet

1. Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 15, 2010
Project Name: Remote Data Capture for Child Protective Investigators	Is this project included in the Agency's LRPP? <u> X </u> Yes
FY 2011-12 LBR Issue Code: 363xxCO	FY 2011-12 LBR Issue Title: Remote Data Capture for Child Protection Investigators
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz, 850-487-8902 lori_schultz@dcf.state.fl.us	
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: George H. Sheldon	Date: 10/13/10
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Budget Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Planning Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Project Sponsor:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Glenda Jenks 487-3811 glenda_jenks@dcf.state.fl.us
Cost Benefit Analysis:	Glenda Jenks 487-3811 glenda_jenks@dcf.state.fl.us
Risk Analysis:	Glenda Jenks 487-3811 glenda_jenks@dcf.state.fl.us
Technology Planning:	Glenda Jenks 487-3811 glenda_jenks@dcf.state.fl.us
Project Planning:	Glenda Jenks 487-3811 glenda_jenks@dcf.state.fl.us

II. Schedule IV-B Business Case

Business Case Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment			X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

In Florida, protective investigators and case workers serve children who have been abused or neglected, or may become victims of abuse or neglect. Lives depend on them and the demands on these workers are rigorous. They must handle “see immediately” cases, and they have tight timelines for all other visits. In the field, they spend time with the child, visit the family home, do risk and safety evaluations, take photos, ensure fingerprints are taken, monitor law enforcement checks, coordinate with schools, appear in court, visit doctors, meet with foster parents, conduct referrals from the court, develop case plans, arrange services, document contacts and case information, and prepare required paperwork. They face long work hours, heavy caseloads, significant travel, concerns for their own safety on the job, and, sometimes, difficulty in getting access to information. Turnover is high.

DCF and Sheriff child protective investigators (CPI) each have an average of 14 open cases. The CPI, who can receive cases at any point during the day, must investigate each new case within 24 hours, complete the investigation within 45 days, and complete the case within 60 days. The CPI must complete an initial assessment of child safety within 48 hours. Investigators must go to the office to research intake, historical, and demographic information in Florida Safe Families Network (FSFN.) While the investigators are performing investigations, they make handwritten notes and must return to the office to enter these notes into FSFN.

Currently CPIs and other staff must complete the following tasks:

Allegation and assignment—

- Hotline takes abuse or neglect allegation information and enters it into FSFN, which assigns to CPI supervisors by county.
- Supervisor assigns cases to CPIs.

Before commencement—

- The CPI calls the supervisor to receive case load.
- The supervisor gives CPI case addresses and driving directions (if needed), commencement dates, case details, and priority by criticality.

During commencement the CPI—

- Explains the process to the family.
- Fills out and signs Health Insurance Portability and Accountability Act (HIPAA) form and gives to family to sign.
- Fills out Temporary Assistance for Needy Families (TANF) Funds Eligibility Request form for each family unit.
- Completes the Verification of Indian Child Welfare Act Eligibility form.
- Interviews parents and all children.
- Takes pictures of child and environment.
- Fills out a Safety Plan, if needed.

- If the child is to be removed from the home, the CPI completes a unified home study and prepares an Out of Home Plan for each child.
- Completes a Family Visitation Plan and obtains parent signatures.
- CPI provides family with copies of signed forms.
- CPI enters and uploads information into FSFN using a variety of methods, depending on the circumstances and tools available.

2. Business Objectives

The purpose of remote data capture is to simplify child welfare work in the field so that more of the worker's time is spent with the child and family and less is used for travel and paperwork.

To empower our workforce fully, the Department needs to provide mobile solutions for child protective investigators while they are performing investigative work in the field. In addition, this solution also provides a backup to the CPIs when they cannot connect to the standard state network, either due to lack of network coverage, disaster situations, or unforeseen network outages. This project includes enabling the forms and data to be stored and encrypted locally. The concept would allow for child protective investigators to view currently assigned case files at any offsite location and pre-populate local forms needed at that moment, greatly reducing "double" data entry. Use of the new technology would allow investigators to complete critical safety documents during the initial home visit, collect client digital signatures, and print a copy of the document for the parents outlining a detailed description of the specific tasks and steps necessary to ensure the child's safety.

By integrating the use of mobile technology into the core practices of providing services to children and families, Department and Sheriff Office child protective investigators can view critical investigative information offsite, immediately allowing for more timely commencement of the investigation and completion of key investigative activities. Connection to the Florida Safe Families Network (FSFN) system (i.e., the electronic file of record) via a secured encrypted mobile interface (VPN tunnel) will improve worker efficiency, effectiveness, and accountability by taking full advantage of today's mobile device technologies.

Child protective investigators will be able to view intake and investigation information immediately rather than when they return to the office, allowing them to commence investigations immediately when seconds may matter to the safety of children. To truly improve efficiency, effectiveness, and accountability, we will take full advantage of the mobile device technologies that are available today by integrating them into the FSFN mobile interface. These additional features would include time stamping and GPS location for each commencement, photo capture, digital signature, remote printing, speech to text, and providing driving directions.

The demands for child welfare services increase in tight economic times, when unemployment, unpaid bills, and lack of money create stress and put children at greater risk. Because of budget reductions, local and state services may be reduced. For these reasons, it is imperative that we find ways to manage caseloads and leverage resources to protect children. Just as the AccessFLORIDA modernization effort used technology to modernize public assistance service, remote data capture has the potential to transform child welfare service. Providing workers with flexible computing models where workers can choose depending on their unique business processes will allow them to:

- View all needed investigative information from the field;
- Take pictures;
- Record time and location of visit;
- Transmit forms electronically;
- Print forms and gather signatures in one visit;
- Spend more quality time with the children and families we serve; and
- Reduce travel to the desktop than in the field.

These improvements shift worker time and make it available for improved service to children. As AccessFLORIDA allowed the state to handle increased needs for public assistance during tight economic times, remote data capture will allow us to care for children who are at increased risk of abuse during those same hard times.

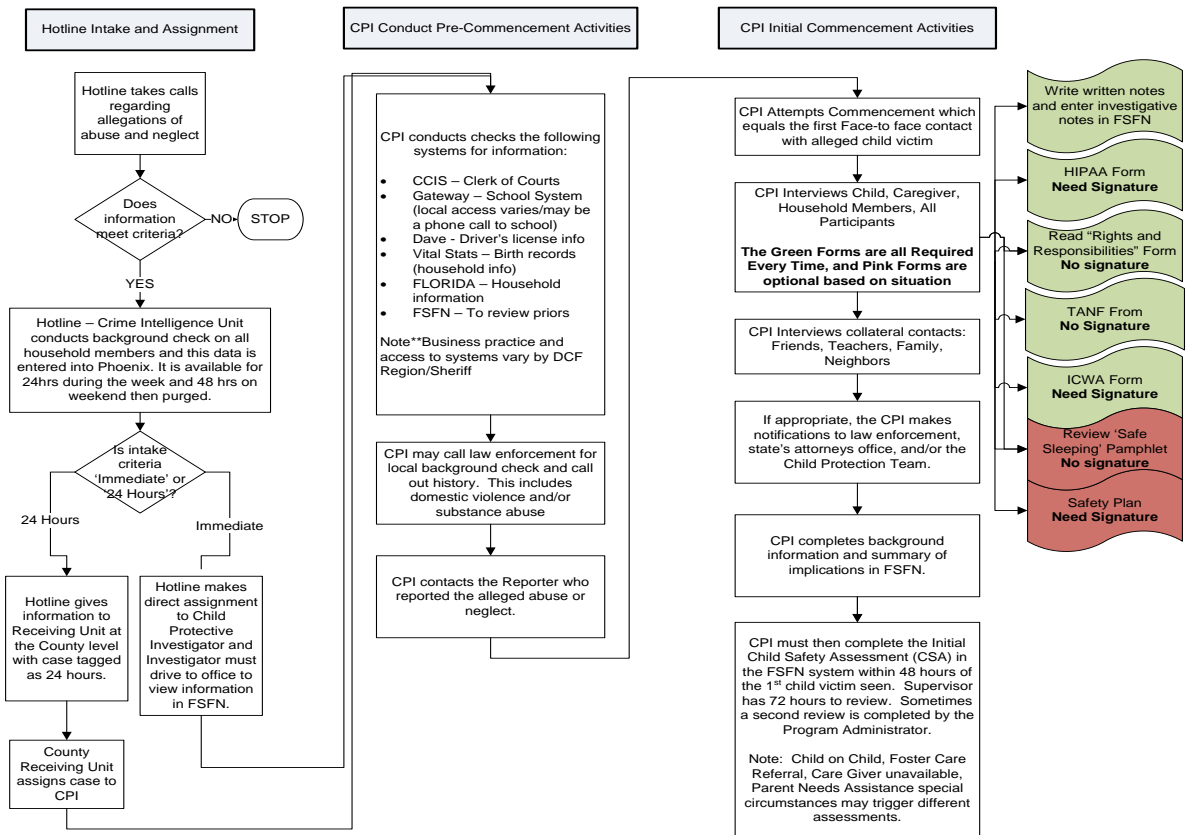
B. Baseline Analysis

1. Current Business Process Requirements

- a. Inputs – Alleged report of abuse, neglect, abandonment recorded in Florida Safe Families Network (FSFN.)
- b. Processing – Investigative work researching all people involved and also making face to face contact with all alleged victims.
- c. Outputs – Documentation of completed work in FSFN.
- d. Business Process Interfaces – The business process is described in Figure 1-1.
- e. Business Process Participants – Florida Abuse Hotline, Child Protective Investigators, Caregivers, Alleged Perpetrators, Child Victims.
- f. Process Mapping

Child Protective Investigators currently must return to office to print out forms and look up information in systems between every investigation. In addition, they currently fill out the paper safety plan, then return to office to type information in FSFN, print it out, obtain supervisor signature, and then return to family’s house to give them completed safety plan.

Figure 1-1 Current Child Protective Investigator Business Process for Initial Commencement



2. Assumptions

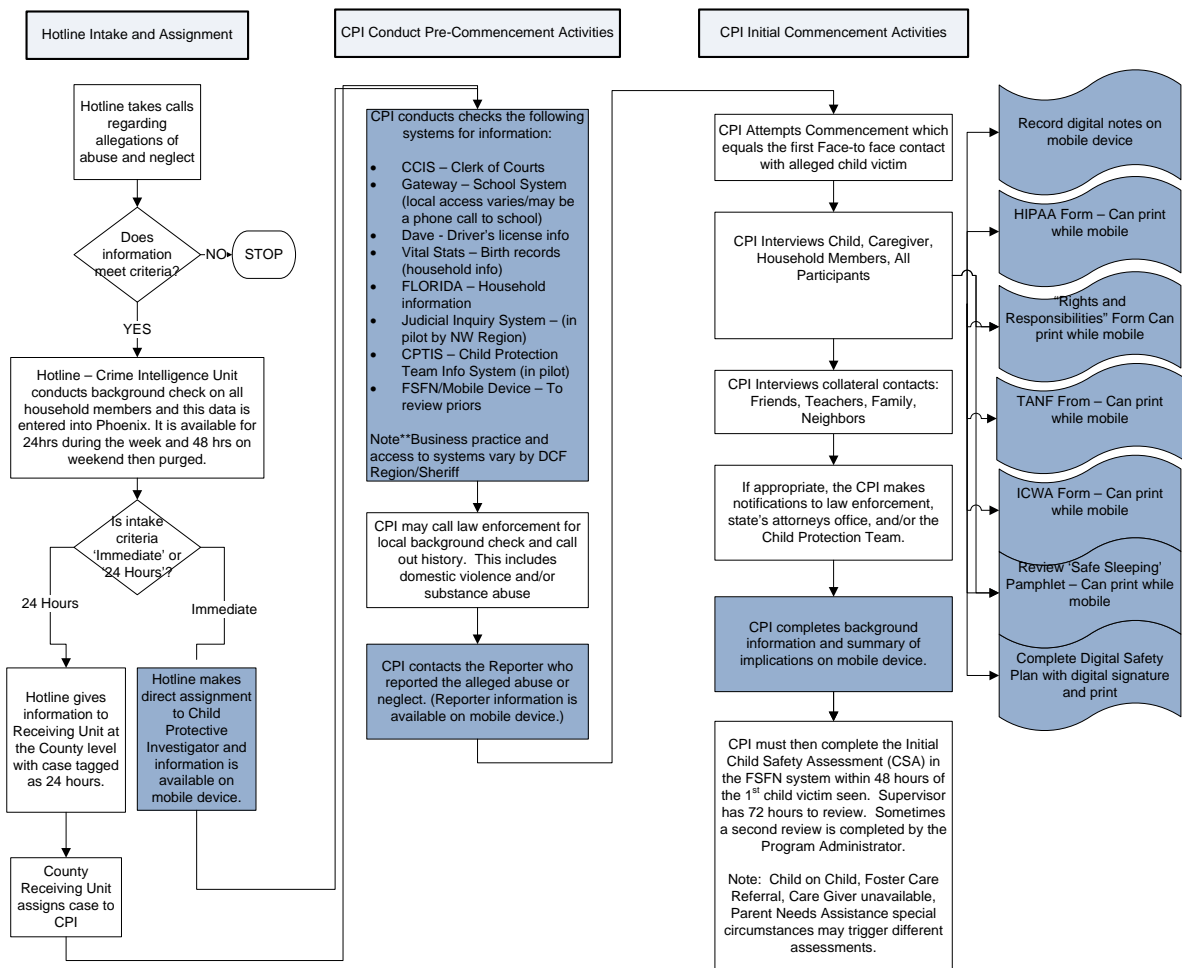
- A1. DCF Family Safety and DCF Regional IT Managers will conduct Trainings sessions
- A2. Sheriffs will be included in project
- A3. DCF will be programming and piloting with existing resources

C. Proposed Business Process Requirements

1. Proposed Business Process

The proposed business process enables Child Protective Investigators to receive all investigative summaries, notes, and priors from Florida Safe Families Network. With the Internet connection, investigators will also be able to log in to other system such as DAVE, to check driver's license information before they walk into a potentially hostile situation. Along with the mobile device, the investigator will be able to print out any form that they may need according to the situation. The new business process will also enable to investigator to digitally complete safety plans with families and obtain their signatures on sites, alleviating the current process of completing the paper form and returning to the office for supervisor signature and then driving back out to the house to give a copy to the family. All items highlighted in blue represent an improved mobile process.

Figure 1-2 Future Child Protective Investigator Business Process for Initial Commencement



2. Business Solution Alternatives

DCF is conducting a statewide pilot for multiple flexible mobile computing devices to determine the best and most economical solution. Once the pilot is completed, a recommendation for flexible mobile computing device(s) will be made. Alternatives considered are:

- All-in-one Windows Mobile ruggedized Smartphone device
- Regular Windows Mobile smartphone
- Regular Android smartphone
- Lightweight tablet

- Flexible computing models for CPI and sheriffs
- Flexible computing models for CPIs and not sheriffs

We have several options for implementing remote data capture successfully. The first is to contract for devices and programming, the second is to purchase devices ourselves and contract for programming, and the third is to purchase devices and do the programming in-house.

3. Rationale for Selection

Remote Data Capture for Child Protective Investigators extends Florida Safe Families Network to a mobile environment. Florida Safe Families Network modifications will be done by the current contracted project team to maintain continuity of operations and protect the system warranty.

Remote Data Capture for Case Managers mobile application has already been developed within DCF and we currently have the capacity to build the software for a statewide pilot.

4. Recommended Business Solution

The recommended business solution is to complete programming in-house for a wide range of device models and spend six months letting our DCF and Sheriff Child Protective Investigators pilot and use all the different devices to see which device(s) fit their business model the best. Once the pilot is complete in June 2011, device(s) that fit the business model the best will be recommended for purchase and statewide implementation to all DCF and Sheriff Child Protective Investigators.

The Department of Children and Families has successfully implemented a flexible mobile extension of FSN to our Community Based Care Partner case managers.

III. Schedule IV-B Cost Benefit Analysis

see RDC CBA Attachment I

A. The Cost-Benefit Analysis Forms

2. Cost Benefit Analysis	
Form	Description of Data Captured
<i>Benefits Realization Table</i> - Microsoft Word Template in Appendix C	A detailed description of all benefits identified for the project, including both tangible and intangible benefits. Each benefit identifies the recipient of the benefit, how and when it is realized, how the realization will be measured, and estimates of tangible benefit amounts.
<i>CBA Form 1 - Net Tangible Benefits</i>	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 <i>Benefits Realization Table</i> . These estimates appear in the year the benefits will be realized.
<i>CBA Form 2 - Project Cost Analysis</i>	Project Cost Elements: Estimated project costs for personnel, hardware software, consultants and other contracted services through project design, development, and implementation. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.
<i>CBA Form 3 - Project Investment Summary</i>	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

B. CBA Forms

Step 1: Benefits Realization Table (Appendix C)

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Improved worker efficiency	Tangible	Abused & neglected children	Less time and expense on travel for administrative tasks and more time spent with children	Time savings and less travel for CPIs, and increased number of visits completed on time	2012
2	Accountability	Intangible	Abused & neglected children	Time-stamping, GPS location, photo capture, and digital signature	Verification of visits and safety of children	2012
3	Effectiveness	Intangible	CPIs & abused and neglected children	Speech to text, remote printing, driving directions, and connectivity backup	Improved service and time management	2012

Step 2: CBA Workbook – CBA Form 1 Net Tangible Benefits worksheet tab:

- a) CBA Form 1-A Net Tangible Benefits
- b) CBA-Form 1-B Character of Program Benefit Estimate

Step 3: CBA Workbook – CBA Form 2 Project Costs worksheet tab:

- a) CBA Form 2-A Project Cost
- b) CBA Form 2-B Character of Project Costs Estimate
- c) CBA Form 2-C Program(s) Costs for Current Operations
- d) CBA Form 2-D Character of Existing Program Cost Estimates

Step 4: CBA Workbook – CBA Form 3 Project Investment Summary worksheet tab:

- a) CBA Form 3-A Cost Benefit Analysis (enter no data, auto generated)
- b) CBA Form 3-B Return on Investment Analysis
- c) CBA Form 3-C Treasurer’s Investment Interest Earning Yield

C. Cost-Benefit Analysis Results

This project will break even in 2012-13 with an internal rate of return of 137.93%. The cost of this project is offset by the time savings for CPI travel back and forth to the office to complete paperwork, make copies, and upload notes into the system.

Cost avoidance, benefits, and offset calculations:

Saved time = 1 hour travel time per day x \$35/hour/1767 CPIs/231 workdays per year
= cost avoidance of \$14,286,195

NOTE: \$35/hour is calculated conservatively for variations in salary. Available work time is calculated at 365 days a year minus 2 days a week for 52 weeks = 261 days minus 10 vacation days, 10 holidays, 10 sick days = 231 days available.

IV. Major Project Risk Assessment Component

- see RDC Risk Assessment Attachment II

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool

Eight major project risk assessment areas:

- Strategic
- Technology
- Change Management
- Communication
- Fiscal
- Project Organization
- Project Management
- Project Complexity

B. Risk Assessment Summary

Overall, the Risk tool describes this project as being aligned yet risky. This project is considered risky because it is not only a statewide initiative for all of our child protective investigators, but also our partner Sheriff agencies who conduct child protective investigative work under the direction of the Department. There are a lot of statewide stakeholders.

The Department has successfully completed the rollout of similar technology for the twenty case management agencies we contract with to provide case management services. These agencies all had very complex and unique needs during the rollout and we were able to partner with them and achieve statewide implementation.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment

1. Current System

a. Description of current system

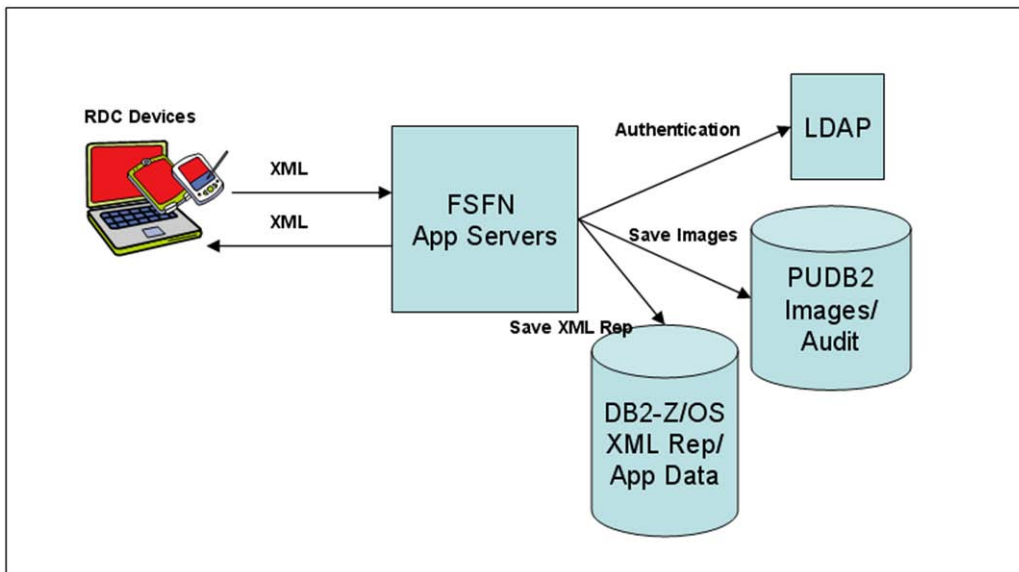
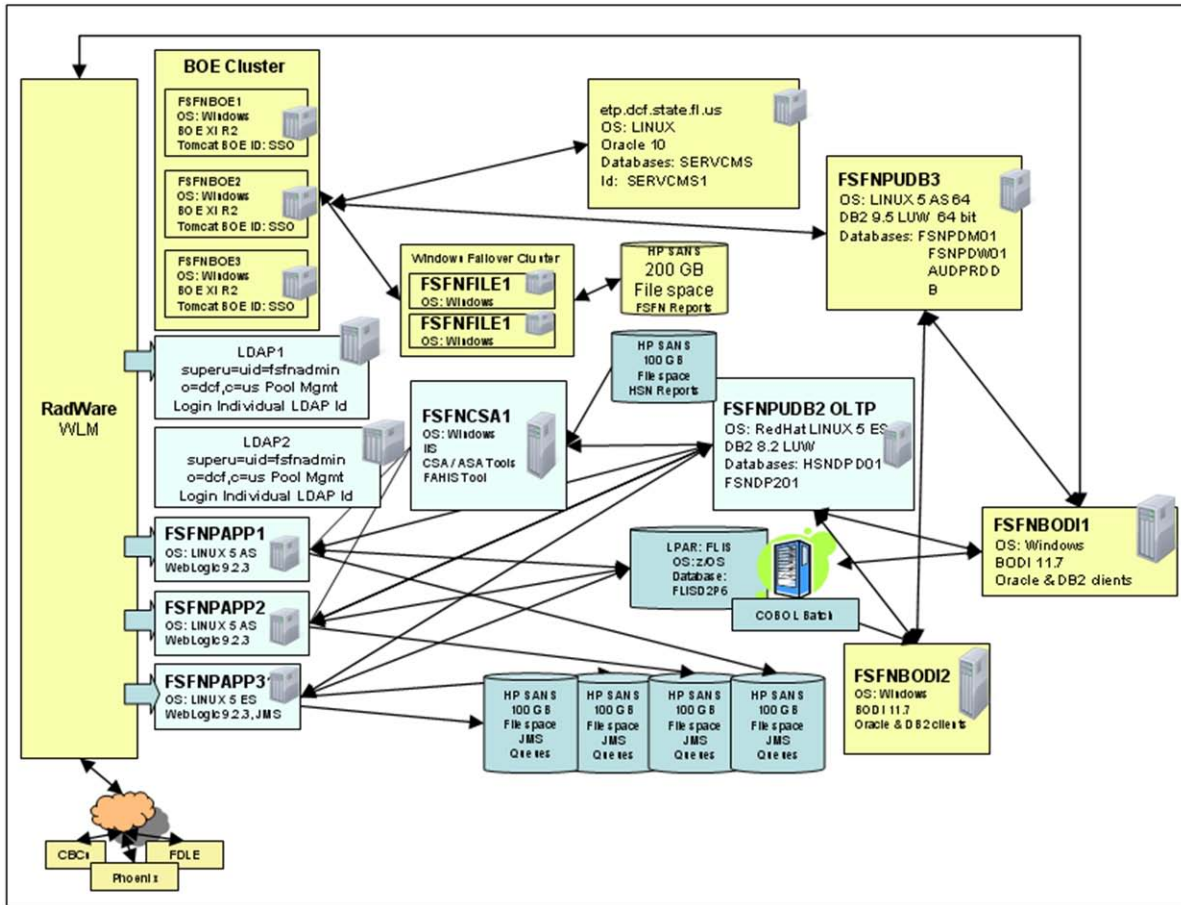
The Remote Data Capture project will interface with Florida's SACWIS solution FSFN. This project will allow child protective investigators to enter data remotely on a handheld device then stream encrypted XML data to the second component in a 'connected' mode and 'disconnected' mode

The proposed functionality for the Remote Data Capture Child Protective Investigators will enhance the existing FSFN web services infrastructure to add CPI data elements.

b. Current system resource requirements - see FSFN Diagram Figure 1-3

c. Current system performance - see FSFN Diagram Figure 1-3

Figure 1-3 Current FSFN Architecture



2. **Strategic Information Technology Direction** - The Remote Data Capture (RDC) project for child protective investigators supports the Secretary's 2012 initiative to reduce safely the number of children in out of home care by providing for real time safety planning to control the threats of serious harm and prevent removal. This project also supports the Department's 2010 - 2014 strategic plan goal of ensuring children are free from abuse, neglect, violence or exploitation. When the CPI observes or obtains information related to hazards frequently attributed to preventable child deaths such as bodies of water easily accessible to children or unsafe sleep hazards during their visit with a family, the RDC alerts the CPI of information that should be given or communicated to the caregivers to educate them on the dangers of the most likely causes of child deaths.

FSFN currently has capacity planning and a controlled architecture plan. This project doesn't call for any added capacity rather provides a mobile option for submitting data. Strategic IT direction is to invest in and to support technology that moves staff into the field—with clients—as much as possible. This proposal is aligned with strategic direction to advance technology and improve service.

3. **Information Technology Standards** identify any agency, statewide, or industry standards & policies that specify service levels and/or performance requirements that have or may affect the project.

This proposed project will provide new functionality to the Department. We are not aware of any existing agency, statewide or industry standards and policies that specify service levels and performance requirements that may affect the project.

B. Proposed Solution Description

1. Summary description of proposed system

Connect to the Florida Safe Families Network system (i.e., the electronic file of record) via a secured encrypted mobile interface (VPN tunnel) to improve worker efficiency, effectiveness, and accountability. This will be a mobile extension of the FSFN. The Department has successfully implemented a flexible mobile extension of FSFN to Community Based Care (CBC) Partner case managers.

1. **Mobile Devices** – A mobile handheld device(s) with GPS, Camera, speech to text software, and microphone, and printing functionality. The mobile device will need to adhere to all encryption and security standards set by the Department.
 - a) System type: mobile device that will store local forms for remote data entry into FSFN;
 - b) Connectivity requirements: wireless via secure Netmotion VPN appliance and persistent tunneling appliance
 - c) Requirements for security, privacy, confidentiality, & public access to comply with applicable federal/state laws, including sections 282.601-282.606, F.S. : The vendor will be expected to adhere to all laws
 - d) Development and procurement approach: DCF is developing internally
 - e) Internal and external interfaces: form will upload to an FSFN middle-tier integration server; integration server will send case data to device
 - f) Maturity and life expectancy of the technology: Will depend on device(s)

2. Mobile Device Management Servers

- Will manage email and calendaring delivery to mobile devices
- Encryption
- Policy Management
- Security (Remote Wipe, Passwords, etc)

3. Printers

- Mobile Printers

2. Resource and summary level funding requirements for proposed system (if known)

The Department is requesting an increase of \$4,946,651 of General Revenue and trust fund budget authority to purchase mobile computing devices for the Child Protective Investigators (CPI), including software and Northwood Shared Resource Center (NSRC) equipment purchases and hosting services. Programming will be handled with existing resources. The \$4,946,651 request is made up of \$3,140,745 in General Revenue and \$1,805,906 in Federal Grants Trust Fund budget authority. The request broken down by budget entity is as follows: 1) \$3,635,813 in the Executive Direction and Support Services Budget Entity; 2) \$1,310,838 in the Family Safety and Preservation Services Budget Entity; 3) double budget of \$3,579,353 in the Information Technology Budget Entity; and 4) \$56,460 in the Northwood Shared Resource Center.

Please note - the \$1,310,838 in the Family Safety and Preservation Services Budget Entity is to purchase mobile computing devices, Virtual Private Network (VPN) software, and printers for Sheriff Child Protective Investigators (CPIs).

3. Ability of the proposed system to meet projected performance requirements for:

- network and system availability—all mobiles devices will be equipped with the latest mobile broadband technology and have a disconnected option when internet coverage is not available
- network and system capacity—will not increase capacity
- network and system reliability—application works on offline mobile devices
- network and system backup and operational recovery—currently handed with FSFN
- scalability to meet long-term system and network requirements—currently handled within FSFN

C. Capacity Planning

- see RDC Capacity Plan Attachment III (will be provided by NSRC)

D. Analysis of Alternatives

1. Assessment of Alternatives

DCF is conducting a statewide pilot for multiple flexible mobile computing devices to determine the best and most economical solution. Once the pilot is completed, a recommendation for flexible mobile computing device(s) will be made. Alternatives considered are:

- All-in-one Windows Mobile ruggedized Smartphone device
- Regular Windows Mobile smartphone
- Regular Android smartphone
- Lightweight tablet
- Flexible computing models for CPI and sheriffs
- Flexible computing models for CPIs and not sheriffs

2. Assessment Process

The software and devices will be piloted in each DCF region and Sheriff office and weekly feedback will be gathered from pilot participants.

3. Technology Recommendation

The technology recommendation(s) will be finalized at the end of pilot.

VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

Project Name:	Remote Data Capture Child Protective Investigators
Business Unit / Program Area (Customer):	DCF Family Safety and DCF Operations
Executive Sponsor:	George Sheldon
Project Director (Sponsor):	Alan Abramowitz, Pete Digre
Organization:	Office of Information Technology Services
Project Manager:	Alicia Dyer
Proposed Project Start Date:	4/5/2010
Proposed Project End Date:	12/30/2011
Key Contact, Phone #:	Alicia Dyer 850-210-4894
Version:	1.0
Last Updated:	9/22/2010

Project Overview

The Department of Children and Families is the State agency charged with the protection of the children and families of Florida. The Department would like to use technology to assist child protective investigators in the identification and detection of early warning indicators related to child safety along with tools to assist in prevention and family preservation to safely maintain a child in his/her own home.

Child protective investigators (CPI) are the individuals who respond to allegations of child abuse, abandonment or neglect as required by Chapter 39, F.S. The Department conducts child protective investigations in 60 Florida counties and has grant agreements with Sheriff Offices in the remaining seven counties.

The Remote Data Capture Project will provide remote data capture tools and added remote capability to DCF Child protective investigators and Sheriff Child protective investigators to protect the children and families they serve.

This project is intended to provide value to the child protective investigator by eliminating the manual paper documentation process and automating forms to electronically upload captured information to the Florida Safe Families Network (FSFN). This project will also provide value to child protective investigators by enabling them to view critical case details remotely and validate the onsite response by GPS time stamping, enable maps and directions to be displayed, provide input directly into required form(s), and print forms remotely in the field.

Project Scope

The project scope includes updates to our current FSFN remote environment to support remote data capture, supplying child protective investigators with the necessary mobile tools, remote inter/intranet network access, and several data input forms that are needed for commencement documentation and subsequent assessment. This will reduce the need for our child protective investigators to return to the office and allow them more time in the field assessing child safety.

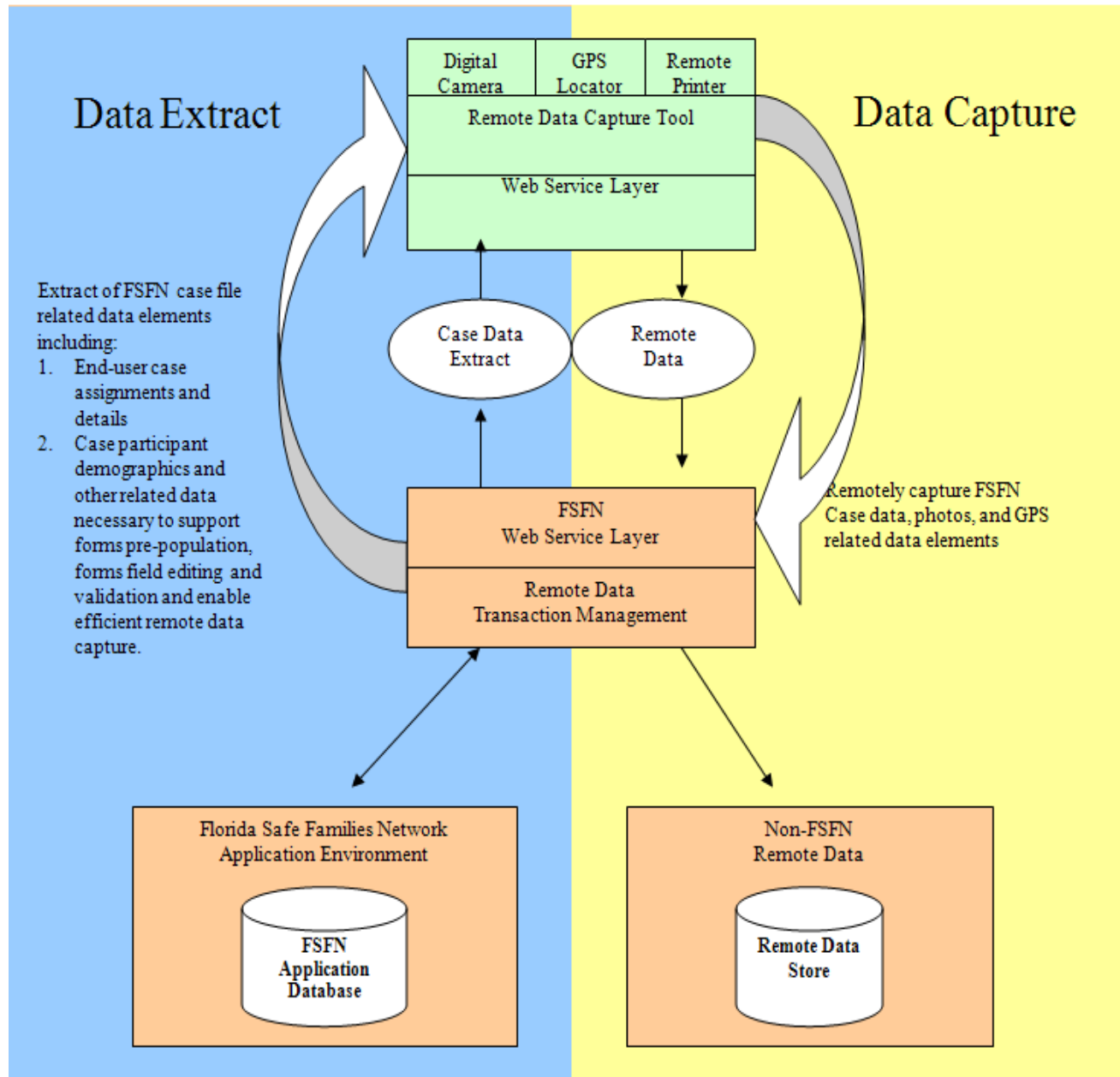
The RDC Project will utilize the Mobile Tools Approach:

- Download and pre-populate FSFN intake/investigation data to remote device application. (via web services)
- Automatically check for and download new investigations or other case information.
- Provide a view of open intake assignments with key information.
- Provide a view of open investigations with key information.
- Provide a GPS timestamp to confirm visit or attempted visit.
- Develop digital forms and data uploaded to FSFN.
- Gather digital signatures.
- Print forms remotely.
- Take photos and upload to FSFN.
- Deploy new application versions/updates to device.

In order to accomplish the scope of this project, the following components are needed to setup a statewide mobile computing environment for our child protection investigators:

- FSFN Web Services modification—in order to allow delivery of critical intake and investigative information to remote data capture devices, the FSFN web services need to be modified.
- Software development—local application databases and user interfaces shall be developed for each devices used with integration of GPS, AGPS, camera, digital signature, and speech to text.
- Mobile device management servers—devices used for mobile computing will need to have email, calendaring, secure encryption, and policy management to ensure data confidentiality.
- Pilot—conduct a statewide pilot for multiple flexible mobile computing devices
- Device procurement for flexible computing models—once a pilot is completed, a recommendation for flexible mobile computing devices will be made
- Software development for each type of device—local application databases and user interfaces shall be developed for each devices used
- Application server setup—to deploy application code to remote devices
- Bluetooth enabled remote printers—to print documents remotely
- VPN remote access software for mobile devices—for secure encrypted data transmissions
- Anti-virus software for mobile devices—to protect devices from virus infections
- Encryption software for mobile devices—to protect confidential data
- Statewide Training—train all child protective investigators on policy, software, devices
- Statewide Implementation—deploy all devices to our child protective investigators

Mobile Tools Approach



Project Goals

- Provide all child protective investigators with the tools to more effectively manage their daily activities
- Increase safety of children through better quality of care and possible earlier detection of problems
- Increase number of visits completed on time
- Increase number of children seen prior to the deadline
- Increase accuracy of data input by allowing the child protective investigator to enter data at the time of the visit
- Improve quality of family visits as process becomes simplified
- Reduce child protective investigator time spent documenting case data
- Enable quick and reliable response for case workers
- Limit return trips to the office for paperwork

B. Work Breakdown Structure

Remote Data Capture - WORK PLAN - SCHEDULE

Project Remote Data Capture for Child Protective Investigators	Prepared By Alicia Dyer	Date 09/22/10
--	-----------------------------------	-------------------------

Time Estimate

WBS No. 1.0	Work Package Title Planning and Analysis			Work Package Manager Alicia Dyer
Planned Start 04/05/10	Duration Estimate			Planned Duration
	Optimistic	Most Likely X	Pessimistic	106 Days
Estimate Method Analogous			Data Sources	
Estimating Assumptions Work package complete				

Time Estimate

WBS No. 2.0	Work Package Title Design			Work Package Manager Alicia Dyer
Planned Start 8/31/10	Duration Estimate			Planned Duration
	Optimistic	Most Likely X	Pessimistic	47 days
Estimate Method Analogous			Data Sources DCF Personnel	
Estimating Assumptions Business Requirement are complete and Design has started				

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
REMOTE DATA CAPTURE FOR CHILD PROTECTIVE INVESTIGATORS**

Time Estimate

WBS No. 3.0	Work Package Title Construction	Work Package Manager Alicia Dyer		
Planned Start 11/4/10	Duration Estimate			Planned Duration 43 days
	Optimistic X	Most Likely	Pessimistic	
Estimate Method Analogous		Data Sources DCF Personnel		
Estimating Assumptions FSFN web services need to be completed before the RDC mobile application for integrated testing				

Time Estimate

WBS No. 4.0	Work Package Title Acceptance Testing	Work Package Manager Alicia Dyer		
Planned Start 1/3/10	Duration Estimate			Planned Duration 20 days
	Optimistic	Most Likely X	Pessimistic	
Estimate Method Analogous		Data Sources DCF Personnel		
Estimating Assumptions Testing is routine and there are no major problems; minor problems are handled using established processes				

Time Estimate

WBS No. 5.0	Work Package Title Implementation	Work Package Manager Alicia Dyer		
Planned Start 1/3/10	Duration Estimate			Planned Duration 21 days
	Optimistic	Most Likely X	Pessimistic	
Estimate Method Analogous		Data Sources DCF Personnel		
Estimating Assumptions				

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
REMOTE DATA CAPTURE FOR CHILD PROTECTIVE INVESTIGATORS**

Time Estimate

WBS No. 6.0	Work Package Title Pilot	Work Package Manager Alicia Dyer		
Planned Start 1/11/10	Duration Estimate			Planned Duration 133 days
	Optimistic X	Most Likely	Pessimistic	
Estimate Method Analogous		Data Sources DCF Personnel		
Estimating Assumptions Pilot will be conducted with a group of CPIs from all Sheriffs and DCF Regions. Corrective fixes will be occurring during pilot also.				

Time Estimate

WBS No. 7.0	Work Package Title Statewide Implementation	Work Package Manager Alicia Dyer		
Planned Start 7/1/11	Duration Estimate			Planned Duration 87 days
	Optimistic X	Most Likely	Pessimistic	
Estimate Method Analogous		Data Sources DCF Personnel		
Estimating Assumptions This phase starts with the assumption that budget has been approved by the Legislature.				

Time Estimate

WBS No. 8.0	Work Package Title DCF Regions and Sheriff Training and Deployment	Work Package Manager Alicia Dyer		
Planned Start 11/3/11	Duration Estimate			Planned Duration 25 days
	Optimistic	Most Likely X	Pessimistic	
Estimate Method Analogous		Data Sources DCF Personnel		
Estimating Assumptions Technical issues will be limited and resolved promptly. CPI workers will adopt technology and processes readily.				

C. Resource Loaded Project Schedule

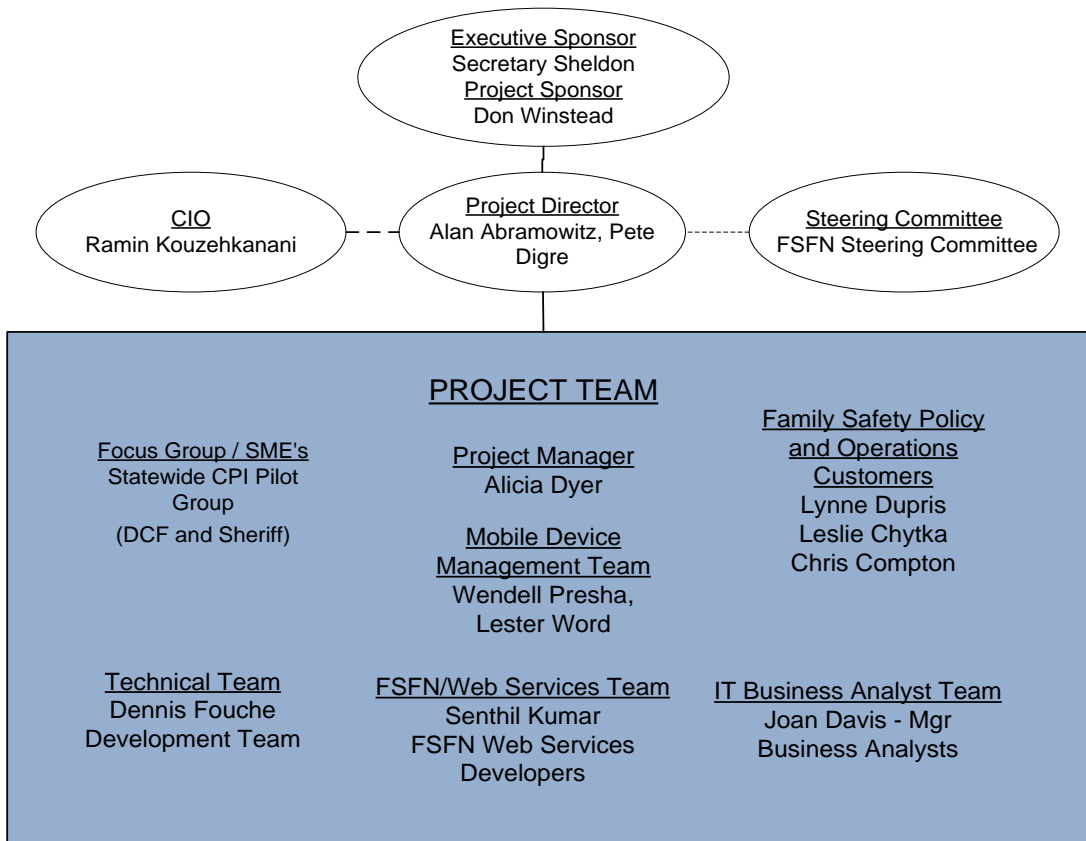
ID	Task Name	% Complete	Duration	Start	Finish	Prede	Deliverable	Resource Names
0	2010-10-01 RDC for Child Protective Investigator Project Schedule	14%	439 days	Mon 4/5/10	Tue 12/27/11			
1	Planning and Analysis	100%	106 days	Mon 4/5/10	Mon 8/30/10			
7	Design	0%	47 days	Tue 8/31/10	Wed 11/3/10			
15	Construction	0%	43 days	Thu 11/4/10	Mon 1/10/11			
21	Acceptance Testing	0%	20 days	Mon 1/3/11	Mon 1/31/11			
28	Implementation	0%	21 days	Mon 1/3/11	Tue 2/1/11			
33	Pilot	0%	133 days	Tue 1/11/11	Tue 7/19/11			
42	Statewide Implementation	0%	87 days	Fri 7/1/11	Wed 11/2/11			
51	DCF Regions and Sheriff Training	0%	25 days	Thu 11/3/11	Mon 12/12/11 49			
58	Project Closure	0%	10 days	Tue 12/13/11	Tue 12/27/11 51			

D. Project Budget

See RDC Project Budget Attachment IV

E. Project Organization

**Remote Data Capture for Child Protective Investigators
Project Governance Model**



F. Project Quality Control

Use DCF processes and procedures to execute change control and promotion, extensive User Acceptance Testing and pilot, different hardware and software environments, and present executive reviews regularly to the Steering Committee.

G. External Project Oversight

- Federal Review
- TRW
- EOG
- FSFN Executive Steering Committee
- House and Senate Appropriations

H. Risk Management

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
1. Mobile Technology will not be accepted operationally across the board	Medium	High	Pilot multiple devices for multiple types of users. Develop software that works on all devices and let users choose the device they feel most comfortable.	Alicia Dyer
2. This is an operational and policy change on how people conduct their daily work.	Medium	Low	Policy development, communication, and training will need to fit operation model.	Alicia Dyer, Lynne Dupris, Leslie Chytka
3. Technology changes all the time and operational costs will be high	Medium	Medium	Develop software that is platform independent and will run on multiple devices requiring minimal updating.	Dennis Fouche
4. Different devices will require many different versions of software	Medium	Medium	Develop software that is platform independent and will run on multiple devices requiring minimal updating.	Dennis Fouche

I. Organizational Change Management

FSFN Steering Committee will approve any large scope changes to project.

J. Project Communication

Remote Data Capture Project for Child Protective Investigators
Communication Plan

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
REMOTE DATA CAPTURE FOR CHILD PROTECTIVE INVESTIGATORS**

Deliverable Description	Delivery Method	Responsibility	Due Date
Weekly Project Schedule Status Report	Report - Reviewed in Meeting	DCF Project Manager	Weekly
Steering Committee Meetings	Meeting	DCF Project Governance	As needed
Business Requirements	Document	Chris Compton, Leslie Chytka	Due: 8/5/10
Construction Complete	Milestone Activity	Dennis Fouche, Sanjay Ramineni	Due: 1/10/10
Testing Complete	Milestone Activity	Joan Davis	Due: 1/31/10
RDC Application Ready	Milestone Activity	Alicia Dyer	Due:2/1/10
Pilot Complete	Milestone Activity	Alicia Dyer	07/19/11
At end of pilot - Final Recommendation for Statewide Implementation	Document	Alicia Dyer	Due: 07/19/11
Training Material	Document	Lynne Dupris, Chris Compton, Leslie Chytka	Due: 09/21/11
Training Plan	Document	Alicia Dyer	Due: 09/21/11
Training and Deployment Complete	Milestone Activity	Alicia Dyer	Due: 12/27/11

K. Special Authorization Requirements

ACF - Administration for Children and Families will need to review and approve all contractual documentation and any proposals that interact with the FSFN system

TRW- to Release Funds

EOG - Buy-in and approval to release funds from EOG reserve
Federal Approval of concepts, procurements, and funding

VII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Attachment I RDC CBA

Attachment II RDC Risk Assessment

Attachment III RDC Capacity Plan – will be provided by NSRC

Attachment IV RDC Project Budget

Project Costs for Remote Data Capture for CPIs												
Produced R 40,452.00			For Children and Families				By Glenda Jenks			FY 2011-12		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Hardware												
Item 1-mobile devices, printers, etc.		\$4,512,500.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$4,512,500	\$0	\$4,512,500
Item 2- servers for NSRC		\$24,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$24,000	\$0	\$24,000
Software												
Item 1 - DCF & Sheriff Offices		\$367,691.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$367,691	\$0	\$367,691
Item 2 - NSRC servers		\$3,200.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$3,200	\$0	\$3,200
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1 - training		\$0.00	\$0.00	\$10,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$10,000	\$0	\$10,000
Item 2 - NSRC Hosting Fees		\$7,315.00	\$0.00	\$7,315.00	\$0.00	\$7,315.00	\$0.00	\$7,315.00	\$0.00	\$29,260	\$0	\$29,260
Total Costs		\$4,914,706	\$0	\$17,315	\$0	\$7,315	\$0	\$7,315	\$0	\$4,946,651	\$0	\$4,946,651
Progress Payments										\$0	\$0	\$0

Project Costs for Remote Data Capture for CPIs

Produced R 40,452.00

For Children and Families

By Glenda Jenks

FY 2011-12

PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)

	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting-NSRC hosting/service fees	\$0	\$0	\$0	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software-for DCF, Sheriff, NSRC	\$0	\$0	\$0	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$100,286	\$100,286	\$0	\$100,286	\$100,286	\$0	\$100,286	\$100,286
FTE	0	0	0	0	0	0	0	0	0	0	0	0

CBAForm 1 - Net Tangible Benefits

Agency	Children and Families	Project	Remote Data Capture
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A																
Agency (Operations Only -- No Project Costs)	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15			FY 2015-16			
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
B. Data Processing -- Costs	\$0	\$4,907,391	\$4,907,391	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	
B-1. Hardware	\$0	\$4,536,500	\$4,536,500	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
B-2. Software	\$0	\$370,891	\$370,891	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	\$0	\$71,026	\$71,026	
B-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C. External Service Provider -- Costs	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C-3. Network / Hosting Services	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	\$0	\$29,260	\$29,260	
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E. Others -- Costs	\$0	\$10,000	\$10,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E-1. Training	\$0	\$10,000	\$10,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
Total of Operational Costs (Rows A through E)	\$0	\$4,946,651	\$4,946,651	\$0	\$100,286	\$100,286	\$0	\$100,286	\$100,286	\$0	\$100,286	\$100,286	\$0	\$100,286	\$100,286	
F. Additional Tangible Benefits:		\$0			\$14,286,195			\$14,286,195			\$14,286,195			\$14,286,195		
F-1. CPI Travel Time saved		\$0			\$14,286,195			\$14,286,195			\$14,286,195			\$14,286,195		
F-2. Specify		\$0			\$0			\$0			\$0			\$0		
F-3. Specify		\$0			\$0			\$0			\$0			\$0		
Total Net Tangible Benefits:		(\$4,946,651)			\$14,185,909			\$14,185,909			\$14,185,909			\$14,185,909		

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input type="checkbox"/>	Confidence Level	
Placeholder <input type="checkbox"/>	Confidence Level	

CBAForm 2 - Project Cost Analysis

Agency	<u>Children and Families</u>	Project	<u>Remote Data Capture</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$0	\$0	\$0	\$0	\$0	\$0
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <small>devices, printers,</small>	\$4,536,500	\$0	\$0	\$0	\$0	\$4,536,500
COTS Software	\$370,891	\$71,026	\$71,026	\$71,026	\$71,026	\$654,995
Misc. Equipment <small>Specify</small>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <small>NSRC FEES</small>	\$29,260	\$29,260	\$29,260	\$29,260	\$29,260	\$146,300
Training	\$10,000	\$0	\$0	\$0	\$0	\$10,000
TOTAL PROJECT COSTS (*)	\$4,946,651	\$100,286	\$100,286	\$100,286	\$100,286	\$5,347,795
CUMULATIVE PROJECT COSTS	\$4,946,651	\$5,046,937	\$5,147,223	\$5,247,509	\$5,347,795	

INVESTMENT SUMMARY						TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
General Revenue	\$3,140,745	\$57,708	\$57,708	\$57,708	\$57,708	\$3,371,577
Trust Fund	\$1,805,906	\$42,578	\$42,578	\$42,578	\$42,578	\$1,976,218
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants		\$0	\$0	\$0	\$0	\$0
Other <small>Specify</small>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$4,946,651	\$100,286	\$100,286	\$100,286	\$100,286	\$5,347,795
CUMULATIVE INVESTMENT (*)	\$4,946,651	\$5,046,937	\$5,147,223	\$5,247,509	\$5,347,795	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level
Order of Magnitude	<input type="checkbox"/>	Confidence Level
Placeholder	<input type="checkbox"/>	Confidence Level

CBAForm 3 - Project Investment Summary

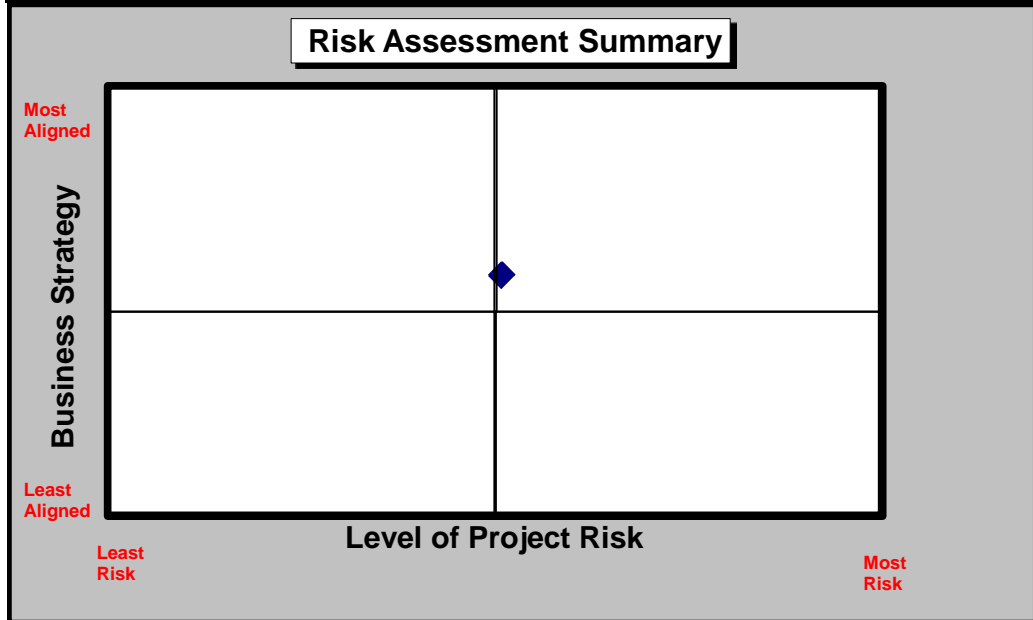
Agency	<u>Children and Families</u>	Project	<u>Remote Data Capture</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
Project Cost	\$4,946,651	\$100,286	\$100,286	\$100,286	\$100,286	\$5,347,795
Net Tangible Benefits	(\$4,946,651)	\$14,185,909	\$14,185,909	\$14,185,909	\$14,185,909	\$51,796,985
Return on Investment	(\$9,893,302)	\$14,085,623	\$14,085,623	\$14,085,623	\$14,085,623	\$46,449,190
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	1 5/7	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2012-13	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$37,590,673	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	137.93%	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Project	<i>Remote Data Capture for Child Protective Investigators</i>	
Agency	<i>Children and Families</i>	
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:	
<i>Issue Code</i>	<i>Remote Data Capture for CPIs</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Lori Schultz 487-8902 lori_schultz@dcf.state.fl.us</i>		
Executive Sponsor	<i>George Sheldon</i>	
Project Manager	<i>Alicia Dyer</i>	
Prepared By	<i>Glenda Jenks</i>	<i>9/27/2010</i>



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

Agency: Children and Families

Project: Remote Data Capture for Child Protective Investigators

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified and documented
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Moderate external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Children and Families

Project: Remote Data Capture for Child Protective Investigators

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Supported production system 1 year to 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Children and Families

Project: Remote Data Capture for Child Protective Investigators

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Extensive change or new way of providing/receiving services or information)
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with similar change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Routine feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	All or nearly all messages are documented
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	All or nearly all messages have success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

Agency: Children and Families Project: Remote Data Capture for Child Protective Investigators

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested and received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 1 year
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

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Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	No
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

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Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	41 to 80% -- Some are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Only project manager signs-off
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

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Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

DEPARTMENT OF CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

**DCF AUTOMATED COMMUNITY CONNECTION
TO ECONOMIC SELF-SUFFICIENCY (ACCESS)**

FLORIDA MODERNIZATION

FOR

FISCAL YEAR 2011-12



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

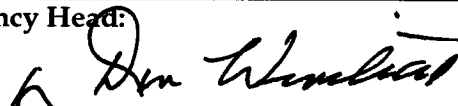
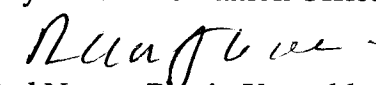
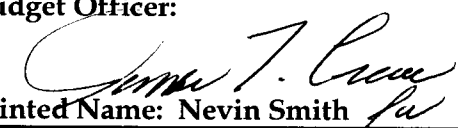
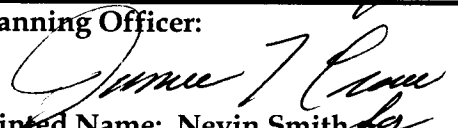
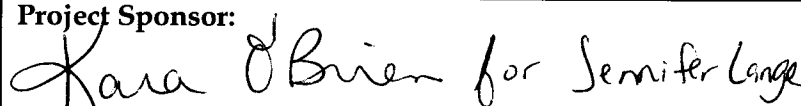
October 15, 2010

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SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency/Partner Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date: October 15, 2010
Project Name: ACCESS Florida Modernization	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2009-10 LBR Issue Code: 36315C0	FY 2009-10 LBR Issue Title: ACCESS Florida Improved Customer Service Delivery Through Technology
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):	
Lori Schultz 487-8902 lori_schultz@dcf.state.fl.us	
Agency Approval - Signature	
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: George H. Sheldon	Date: 10/13/10
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Budget Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Planning Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Project Sponsor:  Printed Name: Jennifer Lange	Date: 10.13.10
Schedule IV-B Resources (Name, Phone #, and Email address)	
Business Need:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us
Cost Benefit Analysis:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us David Hines 921-5564 david_hines@dcf.state.fl.us
Risk Analysis:	Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us Jon Croft 921-5472 jon_croft@dcf.state.fl.us
Technology Planning:	NSRC
Project Planning:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Jon Croft 921-5472 jon_croft@dcf.state.fl.us

II. Schedule IV-B Business Case

A. Background and Strategic Needs Assessment

1. ACCESS Florida Modernization Initiatives

ACCESS Florida (Automated Community Connections to Economic Self Sufficiency, formerly known as the Economic Self-Sufficiency Programs), is the Department's retooled and modernized public assistance service delivery program. This model is based on streamlined workflows, policy simplification and technology innovations. ACCESS Florida provides enhanced access to services through a combination of state staff and a community partnership network as community providers agree to serve as additional portals to ESS services for clients mutually served by the partner agency and the Department of Children and Families.

This modernized system offers self-directed opportunities and 24/7 service. This model reduces the investment of time required by customers to apply for or continue receiving public assistance. Many of our customers are employed or under-employed and often cannot afford to take time off their job to participate in the eligibility process. By streamlining program efficiency and providing new levels of access and technological support, customers may achieve new levels of self sufficiency.

The ACCESS program provides the following services to the citizens of Florida:

- **Temporary Cash Assistance** provides cash assistance to families with children under the age of 18 or under the age of 19 if full time secondary school students that meet the technical, income, and asset requirements. The program helps families become self-supporting while allowing children to remain in their own homes.
- **Food Stamps** (now known as SNAP) helps low-income individuals and families that meet the technical, income and asset requirements of the program to buy the food they need for good health.
- **Medicaid** provides medical coverage to low-income individuals and families that meet the technical, income and asset requirements of the program. The Agency for Health Care Administration administers Medicaid services, while the Department of Children and Families determines Medicaid eligibility.

In SFY 2002-2003 the Department began implementing legislatively mandated staffing reductions and business process improvements. In order to continue to provide timely and accurate services to the State's citizens, the ACCESS program developed a strategic vision—a roadmap—and embarked on a series of modernization projects utilizing technology as the backbone (but not the sole strategy) for overhauling their business processes.

The Vision

The ACCESS roadmap is the cornerstone of this vision to transform the FLORIDA mainframe from a system used only by staff (via direct data entry on "green screens") to a system used by staff, customers, and community partners by adding three web-based systems to the front end of FLORIDA: ACCESS Web Application, My ACCESS Account, and the ACCESS Management System (AMS).

The **ACCESS Web Application** allows customers to apply for benefits from any location that has Internet access. Individuals in need of assistance can apply for benefits at times and locations convenient to them, outside of traditional office hours, and in locations such as libraries or community partners instead of having to complete paper

applications and travel to ACCESS offices.

My ACCESS Account allows customers easy access to personal information concerning their public assistance benefits. This system is designed to accommodate individuals with little or no knowledge of computer systems. This web-based system is a secure system that uses authentication software to insure confidentiality. My ACCESS Account allows customers to print their own temporary Medicaid card, view their current and past benefits, check on appointments, keep abreast of their next review dates, and view the reason their case is pending. Recent enhancements to My ACCESS Account give service providers the ability to view Medicaid information and future enhancements will allow customers to complete an eligibility review online, report changes to their household situation, view copies on notices they have been sent, and submit documentation electronically by attaching it to their Account. This system will reduce calls to the staff as customer's information will be in one easy to reach location. It will also reduce the time it takes to collect information from customers, allowing eligibility specialists more time to process cases correctly and more rapidly.

The **ACCESS Management System (AMS)** will be able to take existing mainframe functionality and reorganize and streamline business processes. As various modules are developed and implemented, staff will see such improvements as integrated inbox functionality for tracking applications, reported changes, additional benefit requests and redeterminations; automatic workload assignment; and the capability to match data provided by the customer against data already in the system. The result will provide staff with a more efficient and less error-prone system—a graphical user interface (GUI), with drop-down boxes and buttons to click and select values rather than having to search through a table of data and then re-type the information on a separate screen. When completed, AMS will have transformed FLORIDA processes to match and enhance the business process reengineering that the ACCESS program has undergone.

Included in this technology transformation are other ancillary processes that support the eligibility and case management functions: for example, document imaging allows ACCESS staff to store and access electronic copies of important documents rather than keep bulky paper case files; and initiatives like the Electronic Applications System assist customers by providing third party vendors who utilize one application to apply for various community resources, such as Benefit Bank, with the capability to submit an application for assistance.

First and foremost, this transformation allows the ACCESS program to improve upon the successful beginnings of its modernization activities.

It also accomplishes several other things:

- It provides customers with the ability to manage their case with a reduction in worker intervention and reduces calls to the Customer Call Centers;
- It makes use of community resources outside of the Department to help those we serve;
- The existing Intake Management System, which resides on a separate platform, can be retired;
- The current Visual Basic streaming application to take data from the web application into FLORIDA will be replaced with more efficient functionality;

- By improving what staff see and use while keeping the FLORIDA mainframe as the engine in the background that applies the business rules, the Department is able to leverage existing logic that works efficiently and correctly to determine eligibility.

Due to the magnitude of these initiatives, they are being done in stages, over several years, as resources permit.

ACCESS Past

The success of the ACCESS program modernization has already been noticed and rewarded – both within the state and nationally.

In March 2008 the Office of Program Policy Analysis and Government Accountability (OPPAGA) released report No. 08-13, which reviewed and analyzed these modernization activities. As noted in OPPAGA's report, the Department created the ACCESS program to modernize public assistance service delivery, through a combination of approaches, to

"...make it easier for clients to apply for assistance and to achieve operational efficiencies. Through ACCESS the department

- *simplified eligibility requirements and administrative policies,*
- *launched an online application for assistance and changed how it interacts with clients to help them complete the application process,*
- *closed customer service centers and opened smaller application offices,*
- *recruited a network of community partners to help clients submit applications,*
- *changed staff functions for processing applications and maintaining cases, and*
- *developed several technologies to support the program redesign."*

In September 2007 the Ash Institute for Democratic Governance and Innovation at Harvard University's John F. Kennedy School of Government awarded ACCESS Florida with one of seven Innovations in American Government Awards. As stated in the press release:

"ACCESS Florida dramatically cuts overhead costs while serving those in need more efficiently," said Stephen Goldsmith, director of the Innovations in American Government Program at Harvard's Kennedy School of Government. "By applying the same customer service principals that work in the retail sector, the Department of Children & Families empowers its citizens to take an active role in personal benefit management. We look forward to the replication of this successful innovation in governments throughout the country."

In 2008, the United States Department of Agriculture (USDA) awarded Florida \$5,481,910 in federal bonus dollars because the state ranked first among the three states with the most improved payment accuracy rate during Fiscal Year 2007. Florida's payment accuracy rate improved from 91.41 percent in Fiscal Year 2006 to 95.85 percent in Fiscal Year 2007.

In 2009, USDA awarded the state of Florida a \$7,179,612 bonus for achieving the best payment accuracy rate in the country for food stamp program benefits. Florida's Food Stamp Program (also known as the Supplemental Nutrition Assistance Program) is the fourth largest in the country, providing \$266 million worth of monthly benefits to over two million people. Florida is the largest state to hold the number one spot for accuracy since the federal bonus system went into place in 2003.

This is a far cry from the days of food stamp issuance lines that stretched around the perimeter

of DCF office buildings in the summer, and high benefit error rates that cost the state large sums of money in erroneously issued benefits each year. These accomplishments are a direct result of the modernization efforts of the ACCESS program, supported by technology.

Already implemented as part of this strategic vision are:

- ACCESS Web Application (completed 4/1/2005), which provides an Internet based system where Florida residents can apply for public assistance online. This was one of the major operational efficiencies in the ACCESS program, as applications are now received and processed more efficiently. Florida's Food Stamp (now SNAP) program was the first in the country to accept e-signed electronic applications.
- Data streaming (completed 12/29/2006), which transferred data automatically from the Web Application into the legacy FLORIDA system. This change reduced data entry time for processors and improved accuracy by eliminating data entry errors. This enhancement used technology previously used in the Disaster Food Stamp program.
- ACCESS Management System Client Registration (AMS CR) (completed 9/20/2007), which allows clerks to work in a web system rather than the FLORIDA "green screens." This presentation is more intuitive to staff and allows for registration to occur more efficiently using fewer screens. This system also replaced the visual basic streaming tool for client registration as information is automatically populated into the FLORIDA system from AMS CR.
- Electronic Applications Interface (completed 8/18/2008), which allows third party vendors to submit applications on behalf of citizens. Third party vendors can now utilize one application to apply for various community resources. Applications are now submitted through web services and are tracked by the Intake Management System (IMS) and the Access Management System (AMS).
- My ACCESS Account/Account Status (completed 9/3/2008), which provides web pages that enable a customer to view current benefits, the date benefits will be available, their next review date, appointment schedule, benefit account history, pending information and the ability to print a temporary Medicaid card. These improvements make information readily available to customers 24 hours a day and reduce the need for the customer to contact the Customer Call Centers.
- My ACCESS Account/Partner View (completed 2/18/2009), which enables a partner to view appropriate customer data. This enhancement makes appropriate information readily available to partners who are assisting customers. This should reduce the need for the customer and/or partner to contact the Customer Call Centers and will assist customers with accessing other services.
- Notice Rewrite (completed 4/30/2009), which rewrote existing client notices into a format that is easier for customers to understand. Language has been simplified and the body of the notice text has been reorganized. The notices are now generated using a format similar to MS Word, and the software makes changes to notices much easier and quicker. The improvements in client notices should reduce the need for the customer to contact the Customer Call Centers for explanation.
- My ACCESS Account/Provider View (completed 10/22/2009), which makes appropriate information readily available to partners who are assisting mutual

customers. This improvement is expected to reduce calls to the Customer Call Centers.

- ACCESS Management System –Work Management (completed 12/18/2009), which gives inbox functionality to caseworkers and supervisors within AMS. It eliminates the need for the Intake Management System, a separate system, and brings staff closer to being able to work in one system.

The following initiative is anticipated to be completed during F:

- My ACCESS Account Reviews/Changes/Additional Benefits (originally anticipated to be completed March 2010 – currently waiting for NSRC to obtain sufficient infrastructure to support – now anticipated to be implemented November 2010) will allow customers to use the web system to complete an eligibility review, report changes, and apply for additional benefits. It will make the processing of these actions more efficient and accurate. Current “FLORIDA” information will be displayed so that the customer can make appropriate changes and not have to re-enter data. The process is expected to be simpler for customers and reduce the need to contact the customer call centers.

ACCESS Present and Future

The “Access Florida Project Descriptions” (roadmap) document which follows lays out the initiatives that ACCESS has determined are necessary over the next few years to complete their modernization transformation.

The initiatives planned to be worked on during FY 2010-11 are:

- *ACCESS Web Application*
- *ACCESS Management System (AMS) – Application Entry Module*
- *Document Imaging Enhancements*
- *My ACCESS Account*
- *Online Printing of Customers Notices*

The initiatives planned to be worked on during FY 2011-12 are:

- *AMS Phase II*
- *Change in Benefits without Worker Intervention*
- *ACCESS Florida Web Portal Login*

Costs by Deliverables

The following table provides a description of each project in the roadmap as well as costs by fiscal year.

Each of these initiatives is discussed in more detail in the roadmap document and in the business case which follow.

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

ACCESSFlorida Modernization Overview			FY 2003-2004		FY 2004-2005		FY 2005-2006		FY 2006-2007		FY 2007-2008		FY 2008-2009	
Project Information			Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress
Title	Description of Initiative	Functional Value/Business Need Met												
Intake Management System (IMS):	The first statewide browser-based transaction processing system for the ACCESS program. System tracks applications, review, changes, and calls.	The 2003 General Appropriations Act included proviso language directing the Department of Children and Families to modernize operations for the ACCESS Program. A revised operational model was developed and implemented. This system was developed for tracking receipt and disposition of applications for public assistance and requests for additional benefits.	\$315,000	Completed 5/31/04										
Disaster Food Stamp Browser-based Data Entry and Document Imaging System:	Imaging and Browser-based system developed to facilitate the high volume of data entry and streaming of data into the legacy system (FLORIDA.)	Six major hurricanes struck Florida in 2004 and 2005 necessitating implementation of Disaster Food Stamp programs. A system was needed for efficiently processing the high volumes of applications received for disaster food stamps. Document imaging allowed for decentralization of the data entry operation. Streaming quickly moved the data from the browser based system to FLORIDA.					\$516,787		\$344,487	Completed 5/14/2006				
ACCESS Web Application:	Internet based system (WebApp) allowing Florida residents to apply for public assistance on-line.	The Legislature reduced staffing for the ACCESS program from 7,100 to 4,200 positions over three years, necessitating major improvements in operational efficiency in the ACCESS program. Applications for public assistance could be received and processed more efficiently with the WebApp system. Florida's Food Stamp Program was the first in the country to accept e-signed electronic applications.			\$1,705,163	Completed 4/01/2005								
Statewide Document Imaging System:	Imaging rolled out statewide	Staffing reductions necessitated further operational efficiencies. Statewide implementation of the Document Imaging System allowed for the destruction of all paper records, reducing the need to staff to maintain case records.												
Data Streaming:	Further enhancements were made to the Web Application and data was automatically "streamed" into the legacy system (FLORIDA.)	Streaming WebApp data reduced data entry time for processors. Streaming improved accuracy by eliminating data entry errors. (This technology had previously been used in the Disaster Food Stamp program.)					\$390,000		\$196,774	Completed 12/29/2006				
ACCESS Management System Client Registration (AMS CR):	Demographic portion of the new ACCESS Management System was deployed statewide.	This project allows interview clerks to work in a web system rather than the FLORIDA "green screens". This is much more intuitive to staff. Client registration happens in a much more efficient manner using fewer screens than in the FLORIDA system. This system also replaced the visual basic streaming tool for client registration as information is automatically populated into the FLORIDA system from AMS.							\$530,823		\$132,751	Completed 9/30/2007		
My ACCESS Account/Account Status:	Web pages which enable a customer to view: current benefits, the date benefits will be available, next review date, appointment schedule, benefit account history, pending information, and also print a temporary Medicaid card.	This project makes information readily available to customers providing excellent customer service and reducing the need for the customer to contact the Customer Call Centers. Assists the customer in becoming more self-sufficient. Allows for 24 hours access to their account information.									\$643,610		\$160,963	Completed 6/3/2008
Electronic Applications Interface:	Electronic applications can be submitted real time to our web application database from third party vendors.	The Department is working with third party vendors who utilize one application to apply for various community resources including public assistance. Application will be submitted electronically through web services and tracked by IMS and AMS.											\$154,800	Completed 8/18/2008

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

ACCESSFlorida Modernization Overview			FY 2009-2010		FY 2010-2011		FY 2011-2012		FY 2012-2013	
Project Information			Cost	Progress	Project Cost	Projected Progress	Project Cost	Projected Progress	Project Cost	Projected Progress
Title	Description of Initiative	Functional Value/Business Need Met								
Intake Management System (IMS):	The first statewide browser-based transaction processing system for the ACCESS program. System tracks applications, review, changes, and calls.	The 2003 General Appropriations Act included proviso language directing the Department of Children and Families to modernize operations for the ACCESS Program. A revised operational model was developed and implemented. This system was developed for tracking receipt and disposition of applications for public assistance and requests for additional benefits.								
Disaster Food Stamp Browser-based Data Entry and Document Imaging System:	Imaging and Browser-based system developed to facilitate the high volume of data entry and streaming of data into the legacy system (FLORIDA.)	Six major hurricanes struck Florida in 2004 and 2005 necessitating implementation of Disaster Food Stamp programs. A system was needed for efficiently processing the high volumes of applications received for disaster food stamps. Document imaging allowed for decentralization of the data entry operation. Streaming quickly moved the data from the browser based system to FLORIDA.								
ACCESS Web Application:	Internet based system (WebApp) allowing Florida residents to apply for public assistance on-line.	The Legislature reduced staffing for the ACCESS program from 7,100 to 4,200 positions over three years, necessitating major improvements in operational efficiency in the ACCESS program. Applications for public assistance could be received and processed more efficiently with the WebApp system. Florida's Food Stamp Program was the first in the country to accept e-signed electronic applications.								
Statewide Document Imaging System:	Imaging rolled out statewide	Staffing reductions necessitated further operational efficiencies. Statewide implementation of the Document Imaging System allowed for the destruction of all paper records, reducing the need to staff to maintain case records.								
Data Streaming:	Further enhancements were made to the Web Application and data was automatically "streamed" into the legacy system (FLORIDA.)	Streaming WebApp data reduced data entry time for processors. Streaming improved accuracy by eliminating data entry errors. (This technology had previously been used in the Disaster Food Stamp program.)								
ACCESS Management System Client Registration (AMS CR):	Demographic portion of the new ACCESS Management System was deployed statewide.	This project allows interview clerks to work in a web system rather than the FLORIDA "green screens". This is much more intuitive to staff. Client registration happens in a much more efficient manner using fewer screens than in the FLORIDA system. This system also replaced the visual basic streaming tool for client registration as information is automatically populated into the FLORIDA system from AMS.								
My ACCESS Account/Account Status:	Web pages which enable a customer to view: current benefits, the date benefits will be available, next review date, appointment schedule, benefit account history, pending information, and also print a temporary Medicaid card.	This project makes information readily available to customers providing excellent customer service and reducing the need for the customer to contact the Customer Call Centers. Assists the customer in becoming more self-sufficient. Allows for 24 hours access to their account information.								
Electronic Applications Interface:	Electronic applications can be submitted real time to our web application database from third party vendors.	The Department is working with third party vendors who utilize one application to apply for various community resources including public assistance. Application will be submitted electronically through web services and tracked by IMS and AMS.								

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

ACCESSFlorida Modernization Overview			FY 2003-2004		FY 2004-2005		FY 2005-2006		FY 2006-2007		FY 2007-2008		FY 2008-2009	
Project Information			Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress
Title	Description of Initiative	Functional Value/Business Need Met												
Notice Rewrite:	Customer notices have been rewritten and are being programmed in new software. v	The notice language was confusing to customers. The format of the FLORIDA notices was confusing. The notice rewrite project resulted in notices that are easier for customers to understand. Language has been simplified and the body of the notice text has been reorganized. In addition, the notices are now generated using a format similar to MS Word. The new software makes it easier to make changes to notice text. This is expected to reduce calls to the customer call centers.									\$64,090		\$214,560	Completed 4/30/2008
My ACCESS Account/Provider View:	Web pages which enable a provider to view appropriate customer data.	This project makes appropriate information readily available to providers who are assisting customers. This is expected to reduce calls to the customer call centers.											\$12,882	
My ACCESS Account/Partner View:	Web pages which enable a partner to view appropriate customer data.	This project makes appropriate information readily available to partners who are assisting customers. This is expected to reduce calls to the customer call centers.											\$75,090	Completed 3/18/2008
FSFN/FLORIDA Interface:	Automated interface between the FSFN system and the FLORIDA system.	This project replaces the existing process of exchanging manually completed paper forms between staff in ACCESS, Family Safety, Community Based Care providers, and the Department of Juvenile Justice. The interface transmits requests for Medicaid determination for child welfare cases, establishes an electronic communication channel between agencies, and streamlines the eligibility determination process. The application entry screens in FLORIDA are automatically populated replacing the data entry.									\$56,658		\$275,907	Completed
ACCESS Management System (AMS) Work Management:	Creates an inbox functionality for staff. Adds application tracking to the ACCESS Managements System. Inward facing.	This project will give staff including supervisors inbox functionality in the AMS. It will do away with the IMS by including the functionality into the AMS thus bringing the staff closer to being able to work in one system.									\$97,559		\$1,347,937	
ACCESS Management System Application Entry:	Provides an inward facing web front end to FLORIDA that will allow caseworkers to complete application entry and re-certification processes.	This project will enable caseworkers to view the customer entered data from the ACCESS web application and match against data from FLORIDA (if available). The caseworker will have the ability to modify data entered by the customer and initiate the transfer of data into FLORIDA. The business rules will remain in FLORIDA and will use FLORIDA transactions. AMS does not replace FLORIDA and will be used should the Department ever replace FLORIDA with a relational database.									\$1,003,001		\$103,502	
My ACCESS Account Reviews/Changes/Additional Benefits:	Allow customers to use this web system to complete a review, report a change, and apply for additional benefits.	This project will make the processing of reviews, changes and additional benefits more efficient and accurate. The customer's current "FLORIDA" information will be predisplayed so that they can make appropriate changes. The process is expected to be simpler for customers thus generating less contact for assistance. This is expected to reduce calls to the customer call centers.											\$451,582	
Document Imaging Enhancements	Provides more streamlined, flexible functionality to existing document imaging capabilities. Allows copies of customer notices to be electronically stored and retrieved.	There are several key releases of the document imaging project that have not been implemented to date. The new document imaging functionality that will enhance our business includes adding a ledger functionality, programming the system to index at an individual level, and including copies of notices in customers' electronic records. This is required for us to be able to provide customers with a copy of their notices with My ACCESS Account.												

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

ACCESSFlorida Modernization Overview			FY 2009-2010		FY 2010-2011		FY 2011-2012		FY 2012-2013	
Project Information			Cost	Progress	Project Cost	Projected Progress	Project Cost	Projected Progress	Project Cost	Projected Progress
Title	Description of Initiative	Functional Value/Business Need Met								
Notice Rewrite:	Customer notices have been rewritten and are being programmed in new software. v	The notice language was confusing to customers. The format of the FLORIDA notices was confusing. The notice rewrite project resulted in notices that are easier for customers to understand. Language has been simplified and the body of the notice text has been reorganized. In addition, the notices are now generated using a format similar to MS Word. The new software makes it easier to make changes to notice text. This is expected to reduce calls to the customer call centers.								
My ACCESS Account/Provider View:	Web pages which enable a provider to view appropriate customer data.	This project makes appropriate information readily available to providers who are assisting customers. This is expected to reduce calls to the customer call centers.	\$16,000	Completed 03/22/2009						
My ACCESS Account/Partner View:	Web pages which enable a partner to view appropriate customer data.	This project makes appropriate information readily available to partners who are assisting customers. This is expected to reduce calls to the customer call centers.								
ESFN/FLORIDA Interface:	Automated interface between the FSFN system and the FLORIDA system.	This project replaces the existing process of exchanging manually completed paper forms between staff in ACCESS, Family Safety, Community Based Care providers, and the Department of Juvenile Justice. The interface transmits requests for Medicaid determination for child welfare cases, establishes an electronic communication channel between agencies, and streamlines the eligibility determination process. The application entry screens in FLORIDA are automatically populated replacing the data entry.								
ACCESS Management System (AMS) Work Management:	Creates an inbox functionality for staff. Adds application tracking to the ACCESS Managements System. Inward facing.	This project will give staff including supervisors inbox functionality in the AMS. It will do away with the IMS by including the functionality into the AMS thus bringing the staff closer to being able to work in one system.	est. \$420,000	Completed 11/18/2009						
ACCESS Management System Application Entry:	Provides an inward facing web front end to FLORIDA that will allow caseworkers to complete application entry and re-certification processes.	This project will enable caseworkers to view the customer entered data from the ACCESS web application and match against data from FLORIDA (if available). The caseworker will have the ability to modify data entered by the customer and initiate the transfer of data into FLORIDA. The business rules will remain in FLORIDA and will use FLORIDA transactions. AMS does not replace FLORIDA and will be used should the Department ever replace FLORIDA with a relational database.		On Hold	\$1,600,000	Target for first phase 3/31/2011	\$1,215,200		\$1,826,800	Target 6/20/2013
My ACCESS Account Reviews/Changes/Additional Benefits:	Allow customers to use this web system to complete a review, report a change, and apply for additional benefits.	This project will make the processing of reviews, changes and additional benefits more efficient and accurate. The customer's current "FLORIDA" information will be predisplayed so that they can make appropriate changes. The process is expected to be simpler for customers thus generating less contact for assistance. This is expected to reduce calls to the customer call centers.	est. \$700,000	Programming completed; ready for User Acceptance Testing. Target 03/2010						
Document Imaging Enhancements	Provides more streamlined, flexible functionality to existing document imaging capabilities. Allows copies of customer notices to be electronically stored and retrieved.	There are several key releases of the document imaging project that have not been implemented to date. The new document imaging functionality that will enhance our business includes adding a ledger functionality, programming the system to index at an individual level, and including copies of notices in customers' electronic records. This is required for us to be able to provide customers with a copy of their notices with My ACCESS Account.		Design process begun	\$320,000	Target 4/13/11				

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

ACCESSFlorida Modernization Overview			FY 2003-2004		FY 2004-2005		FY 2005-2006		FY 2006-2007		FY 2007-2008		FY 2008-2009	
Project Information			Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress	Cost	Progress
Title	Description of Initiative	Functional Value/Business Need Met												
Change in Benefits w/out Worker Intervention Technology:	An automated process to determine eligibility without staff intervention for targeted cases.	This will benefit both staff and customers as the eligibility usually requires no further contact with the department and changes in benefits will process within 24 hours. The potential for calculation errors by staff is removed ensuring that benefits are more accurate. With the increase in caseload, this will reduce the workload for staff.												
ACCESS Florida Web Portal Login Page:	A central portal or login page for the systems routinely used by ACCESS staff.	We have a need for staff to sign in once rather than several times to several systems. This system will eliminate the need to sign on to each system separately and avoid unnecessary time-outs requiring staff to log back into one system because they were using another system.												
My ACCESS Account:	Continue to enhance My Account to provide customers the ability to manage their public assistance cases on-line.	To further expand upon a customer's ability to manage their public assistance case on-line, we will add functionality to allow them to automatically request a replacement Medicaid Gold card, to receive and view their notices, and also to upload or attach copies of documents to their account to send to the Department.												
On-Line Printing of Customers Notices:	Allow staff to print notices locally.	Provide staff with the ability to print notices locally. Currently the notices that are printed locally are the old mainframe version of the new notice that is mailed to a customer. This will allow us to not only print locally but also will eliminate the need to maintain the expensive network printers needed to print notices today.												
ACCESS Web Application Enhancements	Changes to Web Application to include additional programs, customize questions by benefits requested, and add forms.	The Web Application will be enhanced by customizing the application to the type of benefit(s) being requested, adding programs that presently require submission of a paper application, including additional questions necessary to gather more complete information from customers which would reduce the necessity of staff having to contact customers to complete their application, and adding necessary forms and brochures throughout the application as appropriate (such as an income form link on the page with income questions). This will streamline the application process further.												

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

ACCESSFlorida Modernization Overview			FY 2009-2010		FY 2010-2011		FY 2011-2012		FY 2012-2013	
Project Information			Cost	Progress	Project Cost	Projected Progress	Project Cost	Projected Progress	Project Cost	Projected Progress
Title	Description of Initiative	Functional Value/Business Need Met								
Change in Benefits w/out Worker Intervention Technology:	An automated process to determine eligibility without staff intervention for targeted cases.	This will benefit both staff and customers as the eligibility usually requires no further contact with the department and changes in benefits will process within 24 hours. The potential for calculation errors by staff is removed ensuring that benefits are more accurate. With the increase in caseload, this will reduce the workload for staff.					\$1,140,000	Target 6/29/2012		
ACCESS Florida Web Portal Login Page:	A central portal or login page for the systems routinely used by ACCESS staff.	We have a need for staff to sign in once rather than several times to several systems. This system will eliminate the need to sign on to each system separately and avoid unnecessary time-outs requiring staff to log back into one system because they were using another system.					\$250,000	Target 4/11/2012		
My ACCESS Account:	Continue to enhance My Account to provide customers the ability to manage their public assistance cases on-line.	To further expand upon a customer's ability to manage their public assistance case on-line, we will add functionality to allow them to automatically request a replacement Medicaid Gold card, to receive and view their notices, and also to upload or attach copies of documents to their account to send to the Department.			\$200,000	Target 1/28/2011				
On-Line Printing of Customers Notices:	Allow staff to print notices locally.	Provide staff with the ability to print notices locally. Currently the notices that are printed locally are the old mainframe version of the new notice that is mailed to a customer. This will allow us to not only print locally but also will eliminate the need to maintain the expensive network printers needed to print notices today.			\$451,799 (\$300,000 programming and \$151,799 software, \$29,361 recurring costs)	Target 4/13/2011				
ACCESS Web Application Enhancements	Changes to Web Application to include additional programs, customize questions by benefits requested, and add forms.	The Web Application will be enhanced by customizing the application to the type of benefit(s) being requested, adding programs that presently require submission of a paper application, including additional questions necessary to gather more complete information from customers which would reduce the necessity of staff having to contact customers to complete their application, and adding necessary forms and brochures throughout the application as appropriate (such as an income form link on the page with income questions). This will streamline the application process further.			\$2,050,000	Target 6/30/2011				



*ACCESS Program
Project Descriptions*

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Project Descriptions

ACCESS Management System (AMS)

The vision of the AMS is to place a web front end (GUI) to the FLORIDA mainframe for ACCESS staff. Just as with the FLORIDA mainframe, this system will have a variety of modules. The first module, Client Registration (CR), was released in September 2007. We then incorporated the Supplemental Payment System (SPS) in August 2008. As of August 2009, we are testing the next phase, the Work Management Module which will replace the current Intake Management System (IMS). Upon completion of this system as a whole, it will be the one inward facing system used by ACCESS staff while FLORIDA will remain in tact behind the scenes (the engine in the background).

ACCESS Management System - Work Management (AMS WM) Module

AMS WM Release 1

- Creates inbox functionality for Intake Clerks, ESS Specialists, and Supervisors.
- Tracks incoming applications, reported changes, additional benefit requests and re-determinations.
- Provides automatic workload assignment by worker function, work item type and circuit operational requirements.
- Identifies hardship cases; and red/green track cases.
- Generates and moves data to ACCESS Data and Reports programs.
- Creates audit trails for all WM activities.
- Tracks re-use of denied applications.
- Distinguishes applications submitted by community partners.
- View case/worker audit history reports (IQCT,IQWT)

AMS WM Release 2

View and process data exchange alerts

- View and process other FLORIDA case/worker alerts
- Add case transfer functionality
- Add share of cost functionality
- Add scratchpad functionality

ACCESS Management System - Application Entry (AMS AE) Module

AMS AE

The AMS AE project provides a new web front-end to FLORIDA that will allow Caseworkers to complete application entry and re-certification processes. At the completion of this project, it will enable a Caseworker to present the customer entered data from the ACCESS web application and My Account, matching data from FLORIDA (if available). The Caseworker will have the ability to modify data entered by the customer and initiate the transfer of data into FLORIDA. This will replace the current Visual Basic 6.0 streaming application.

Note: As AMS AE functionality is designed, AMS – WM must be evaluated for impact and appropriate programming must be included as changes in AMS – AE.

AMS AE Release 1

- Replace FLORIDA AE green screens, beginning with the FLORIDA screen AICI through and including FLORIDA screen AFSU, including FLORIDA screens AINH, AIMN, AIPR, AIRL, and ASPV
- Add functionality to process new applications and re-applications (closed FLORIDA cases that re-apply) using the ASIA driver
- Display FLORIDA household data for cases closed 60 days or less from the date of the calculated signature
- Add new members and/or delete old household members from existing closed case
- Update verification fields in AMS; populate corresponding FLORIDA fields after FLORIDA SFU/EDBC is initiated
- Retire the visual basic power tool for creating new applications (ASIA process)
- Display the message notes customer entered on the ACCESS Web Application
- Provide the worker ability to update running record comments from AMS CR
- Allow demographic changes to existing PIP
- Allow replacement of existing PIP with household member
- Allow replacement of existing PIP with non-household member
- Provide logon link from AMS to FLORIDA
- Integrate additional data collection from ACCESS Web Application re-write

AMS AE Release 2

Functionality to process all eligibility re-determinations ASRE, including but not limited to:

- Displaying all current FLORIDA household data for comparison
- Adding brand new and/or deleting existing household members
- Retire the visual basic power tool for eligibility (ASRE process)
- Add-A-Person Driver
- Ability to perform any AMS field data updates after the application has been processed, i.e. once eligibility has been started for an application or the application has been authorized including changes from My Account

AMS AE Release 3

- Ability to create pending verification notices on-line and in batch.
- Create notices in batch
- Create web-based front-end for remaining inquiry screens (those not captured in CR)
- Provide ability to create on-line notices
- Provide Notice History and other CN functionality

AMS AE Release 4

- Provide ability to perform SFU/EDBC Eligibility Determination.
- Perform case authorization.
- Ability to create AUXs
- Ability to create FIATs

AMS AE Release 5

- Hearings
- Benefit Recovery
- Use the AWI UC interface data during the AMS application process
- Disability Determinations
- Create web-based front-end for remaining FLORIDA screens including Wrap-up and Authorization screens.
- Collect Authorized Representative information
- Retain case history information on AMS
- Specialty Drivers, including ASEC, PEN, & PEPW

AMS AE Release 6

- Pick – A – Benefit Driver

Note: At the time we are ready to begin coding of any of the above AMS- AE releases, we will review for feasibility of combining releases together into one project.

Updated: 08/17/2009 (Kara)

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Automate Processes and Authorize Benefits without Worker Intervention

- Develop an automated process to start the ASIA driver for applications where all necessary information to populate the FLORIDA application entry screens have been received from the web application.
- Automate the Food Stamp denial process
- Develop a process to determine eligibility without staff intervention for targeted cases using the data provided by My ACCESS Account. Reviews or changes eligible for the automated process will be those that contain all information to complete the required data fields, and those where there is no benefit increase or the existing benefit level decreases. The process will first evaluate the change or review for benefit level change. Where there is no increase, the information will be used to update existing case information, and recalculate and reauthorize the benefits.

ACCESS Florida Web Portal Single Sign-On

The ACCESS Florida Web Portal Login Project will provide a central portal or login page for the systems routinely used by eligibility staff – ACCESS Management System (AMS), Document Imaging, ESS On-Lines, and Worker View. This will eliminate the need to sign on to each system separately and avoid unnecessary time-outs requiring staff to log back into one system because they were using another system. This approach will allow the Department to meet a critical business need using existing technology and minimizing costs.

ACCESS Web Application

ACCESS Web Application Release 2

- Pick a Benefit Functionality
 - SSI Related
 - SEPW/PEPW
 - BUY-IN/LIS
 - MomCare
 - Children Only Medicaid – FHK
 - NH/Hospice/Waiver/HCBS (AINH, MIMN, AIPR and ASPV)
 - Relative Caregiver (AIRL)
- Ability to print pre-populated forms based on applicant information
- Ability to print brochures
- Incorporate Deficit Reduction Act changes
- ACCESS Florida Application questions (including CMS questions)
- Alien INS Number – Add radio buttons for “Do not know”, “Do not have one”, or “Number”
- Incorporate numerous suggestions from circuits/regions to enhance current functionality.

ACCESS Web Application Release 3

AMS-AE interface

My ACCESS Account

My ACCESS Account Release 3

Provider View - A new Account Status page will be created for providers to view Medicaid only information.

My ACCESS Account Release 4

- Complete a Review – pre-display existing information from FLORIDA and allow customer to update and submit review
- Report Changes
 - Contact Information – phone, address, authorized representative
 - People living in Home – add or remove an individual
 - Monthly bills – changes in monthly household expenses
 - Monthly income for everyone – changes in income for household
 - Close case – close program or case

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- Apply for other benefits – will display current information, allow updates, and request additional information needed for new type of benefit being requested

My ACCESS Account Release 5

- View notices and forms
- Print notices and forms
- Allow customers to attach documents to their Account to submit to the Department.

Authentication

Authentication Release 2

Provider - The Authentication solution proposed must provide an interface for Providers to access and/or view customer information and interact with the systems through the web.

Authentication Release 3

Changes as required for My ACCESS Account Release 4 – Changes, Reviews, and Additional Benefits.

Electronic Applications Interfaces – On-going

The Electronic Applications System project created a base application derived from the Florida Web Application and serves as base functionality for third party vendors. The Department is working with third party vendors who utilize one application to apply for various community resources. Applications are submitted electronically through Web Services and tracked by IMS and AMS. Currently, the Department has an interface with the Solutions for Progress application, The Benefit Bank, and also R & B Deliverables application, RAMP.

- Electronic Applications are submitted real time to the Web Application database
- Verification that application was received is returned real time with an Access Number
- An email confirmation is generated and sent to the customer's email address
- If application does not pass "validation," a real time message is returned to the vendor with the reason.

ACCESS Document Imaging

Document Imaging Priority 1 - Roll Out Fax Functionality

Roll out fax functionality statewide.

Document Imaging Priority 2 - Indexing Redesign

Index at Individual Level Instead of Case Level

- The Document Imaging system was designed to index documents at the case level. This means documents for every individual in a case are indexed to the demographic data of the PIP (Primary Information Person). This limits the ability to find documents for individuals in certain instances. If an individual changes cases, the information is still indexed to the original case and PIPs demographics, not their own.

Document Ledger Enhancement

- Develop a method of creating a "ledger" for each image that is scanned or faxed into the system. This ledger would serve as a contents list. It would be similar to the FLORIDA ADVR screen where staff listed items the client turned into the agency. This will involve programming in ESS Scan, Document Processor Service and Document Viewing. The benefits of this enhancement are that it will be much easier for staff to search for specific items. Currently they may be required to open multiple images and page through them to find what they are looking for. The easier it is to find images, the less likelihood that staff will create duplicate images. This will also be necessary for us to accomplish displaying documents to customers in My ACCESS Account in the future.

Document Manipulation in Viewing

- Document Viewing needs to allow for manipulation of images (PDF files). Users should be able to "delete" a document from within Viewing. Users should be able to manually index documents in Viewing. Currently you can only index with cases that are a match with the FLORIDA extract. Users should be able to modify the image by rotating it and removing pages.

Document Type Enhancements

- Develop a plan to inactivate Document Types that are no longer in use. Examples: BRP-IPV and Adult

- Restrict scanning of images into specific Document Types based on the user's profile. This was a request from the OSIG Hearings staff, so they can scan their documents into their own Document Type.

Extract Enhancements

- Create a KidCare Extract that would be used for indexing in Document Imaging (Both ESS Scan and Viewing).
- Modify the FLORIDA Extract to allow for matching with Child in Care cases – with the Child as the one identified with the Case Number.

Document Imaging Priority 3 - Incorporate Notices into Document Imaging

- Currently there is no mechanism to view an electronic copy of the FLORIDA system notice. However, FLORIDA notices are stored on the mainframe but are not accessible to staff or customers. These notices need to be converted to a pdf format that is compatible with the Document Imaging system. This will allow the pdf image to be imported into the Document Imaging system, which will be readily available to Call Center staff that assist customers.
- Disk storage must be purchased prior to implementation of this project.

Document Imaging Priority 4 - ESS Scan modification to recognize Active & Inactive Work Groups

(Needs to move the same time or before Reports Phase III Project)

ESS Scan needs to be modified to recognize the new values for Work Groups where they can be either Active or Inactive. When the Work Group is marked as Inactive it should not appear in the list in ESS Scan for "Notify" Work Group. The user should not be able to send a document to a Work Group Type\Work Group that is Inactive.

Document Imaging Priority 5 - ESS Scan modifications to pass additional information to Document History

(Needs to move the same time or before Workgroup Security Maintenance Project)

The Documents by Work Group Report does not know (Summary & Detail) what happens after it is assigned when it is indexed in ESS Scan.

Document History does need to contain information when user:

- Creates a Child document from the Parent document in ESS Scan
- Forwards a Work Group assignment to another group from ESS Scan
- Deletes a Work Group document assignment from ESS Scan

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Document Viewing needs to pass additional information to Document History when:

- Supervisor unassigns documents from staff via the Work Group Users screen
- user deletes the assignment from their inbox
- user is moved from one Work Group to another (current functionality)
 - a) Can be done by Supervisor via Work Group Users, Edit Users screen
 - b) Can be done by Security Officer via the Manage Users, Edit User screen

Document Imaging Priority 6 - Work Groups Security Maintenance

- Currently, staff that has been made inactive may be left in a Work Group Type/Work Group. Change the system so that when the user is made inactive they do not remain in a Work Group.
- Provide Admin staff with the ability to make Work Group Types and Work Group inactive. This will make navigating through the pull down lists much easier for field staff since they will no longer see the inactive Work Group Types and Work Groups.
- Provide the ability to sort all column headers in Document Viewing for Work Groups (Maintenance).
- Prevent any profile other than Admin from making changes, adding or inactivating the Work Group Types and Work Groups. We believe this functionality is currently tied to the User Group/Profile – View All Doc Status feature. That part of a User Group/Profile should only govern the ability to view Deleted documents.
- Add a search field that can be used to search for a Work Group(s) by Name.

Document Imaging Priority 7 - Report Modifications Phase III

Redesign Documents by Work Group report

- **Documents in Queue** - add the name of the Work Group selected to the Detail Report banner.
- **Document by Scanner** – when ALL scanners are selected a Region Total should be displayed.
- **Documents Scanned by User** – add the Region Total to the Detail report if the report is run for all Region users.
- **Documents by Model** – remove the Region Total from this report.
- **Documents by Work Group** – incorporate information on documents processed through ESS Scan (Child documents). Currently neither the Summary nor Detail report knows what happens after it is "Assigned" when it is indexed in ESS Scan. (Note: ESScan changes must be completed first)

Document Imaging Priority 8 - Migrate Document Imaging Extract to FLODS cycle for Indexing Information

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Document Imaging Priority 9 - Tasks related to new Hardware & Software (RAC servers, File Servers & disks)

Document Imaging Priority 10 - FileMover Modifications & Assignment Maker Replacement

- Modify FileMover to take the place of Assignment Maker.
- Modifications for FileMover that will remove our dependency on Active Directory, allow for simplified deployment, remove the need for drive mapping and Oracle tns names files.

Document Imaging Priority 11 - Security Enhancements Phase II

- Modify to enter userid twice upon creation
- (Admin & Security profiles)
- Automate lockout of users inactive for 60 days or more
- Document Viewing and ESSScan
- Allow for the transfer of users from one Circuit to another by Security Officers.
- Create a method of notification when this occurs between Security Officers (inbox message)
- In ESS Scan - Require a password change after 45 days, establish a minimum length for passwords and add alphanumeric requirement for passwords.
- Create an Audit Trail for user accounts to record all actions
- Date Locked and by Whom
- By Security Officer, by user due to invalid login attempts
- Date Inactivated and by Whom
- By Security Officer, by Admin
- Password Resets and by Whom
- Initial Add/Remove from Work Group by Security or Admin
- Change from Region (Circuit) to another
- Determine a method to identify staff that will have the ability to transfer Courtesy Notifications.

Document Imaging Priority 12 - Courtesy Notifications – Phase III

- Allow for Supervisors to move Courtesy Notifications from someone who is now Inactive to other Active users.
- They should have the following options to
- Move all notifications from worker A to worker B.
- Option to move only the "selected" notifications from worker A to worker B and then other "selected" notifications from worker A to worker C.

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- Security Enhancements must be completed PRIOR to this project since there must be a method of identifying the staff that will have this ability. Allow multiple Inbox messages to be deleted at one time, both Work Group related and non-Work Group related.

Document Imaging Priority 13 - Modify Document Processor Service (DPS) to convert TIF files to PDF

- Most scan devices default to the file format TIF. Currently the Document Processor Service will not process files unless they are in PDF format. Converting files sent to us as TIF by accident causes the document to lose their original Date/Time information. We need to modify DPS to convert any TIFS we receive, keeping the date/time information, and process these files.

Document Imaging Priority 14 - Replace PDFGrabber with Web Interface

- Create a method where Admin staff can add information to create Scanner Threads inside Document Viewing, which would be sent to PDFGrabber. Allow Admin staff to make subsequent updates to Scanner Threads - such as turning OFF a scanner no longer in use and updating the street address
- Allow for Inactivation of Scanner Threads as they currently can only be ON or OFF.

Document Imaging Priority 15 - Purge and Archive

- Create a nightly job that will purge documents that are in deleted status and were deleted over 30 days ago. Exclude Parent documents.
- Create an archive process to store certain documents offline. A retrieval process must also be created.
- Archive documents older than "x" number of days.
- Archive documents when the FLORIDA case has been closed. May need to have PIN Number associated with image checked for active status on FLORIDA. If PIN is active, do not archive. (Related to overhaul of indexing process)

Document Imaging Priority 16 - Security related to Saving and Printing documents

- Security to protect documents - access should be for viewing only. Images should be able to be saved. Address the functionality/security related to Printing documents.
- Allow for staff to mark documents that are needed for a hearing, including the Hearing Request #. Then allow Hearings Officers to search and view only those images that have been designated for that hearing request (this will be notated permanently in the document history, regardless of the hearing outcome).

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- If the Hearings Officer requests the documentation to be printed, we want to include a watermark or some type of footer to the print out. The watermark/footer would contain the original date scanned and the date printed. This will allow for staff to see that this was printed material already in the system and should NOT be rescanned.
- The functionality that indicates a document was accessed should indicate when a document is printed, since they may not view it, only print it.
- Limit the print ability by profiles

Document Imaging Priority 17 - ESS Scan Conversion & Functionality Enhancements

- Convert from VB6 to .net.
- Correct the parent / child document issues.
- Based on reports from users that when you open an electronic image in ESS scan (either error processing or faxes) and the PDF is more than 20 pages, it can be slow in loading the image determine if there are any changes that can be made to improve the processing speed.
- Create a method of previewing an image in ESS Scan that uses Adobe Reader. The current method opens the file as a Tiff image and is not as readable as the PDF that you can view in Document Viewing. The current method also only opens one page of the image at a time, which is extremely time consuming.
- Address reports from the field of specific issues in ESS Scan
- Correct the problem where inbox comments are not updated when scrolling through them.
- Need to have all Work Group comments append – that way you won't see different comments depending on if you are viewing in ESS Scan or Viewing.
- Allow the selection of a Document Type prior to scanning and allow matching to the KidCare case numbers against the new KidCare Extract.
- Add the ability to move all images to and from the preview pane.
- Get the Date/Time stamp information from the Oracle database instead of from the local scanner workstation.
- Create a method for purging the contents of the error.txt and log.txt files after "x" number of days.
- Reconcile the IP address problem with the Config table versus the Scanner table.

ESS Scan Archive Box Reports

- Address reports from the field of specific issues with the ESS Scan Archive Box
- Reports do not show the Open/Close Date/Time stamp if the requestor is not in the same district the Archive Box belongs with.
- Reports are not sorted in order by Date/Time. Blank sheets are inserted between each page when printing.

- Archive Box reports need to display information of scanned documents that were manually indexed.
- Include the number of pages scanned on the reports.
- Allow for a Search Criteria to create a report based on a KidCare case number. Add this information to the actual reports.

Document Imaging Priority 18 - RAC Node Failover – Technical

In the Database Clustered environment, sometimes Nodes are down, applications are not able to route to another active node and get crashed. The applications should be up and running if the database and network connections are available. If a particular node is failing or Listener is down, should not affect the applications.

Document Imaging Priority 19 - Inbox Functionality

- Allow multiple Inbox messages to be deleted at one time, both Work Group related and non-Work Group related.
- Correct the system so it will not remove a non-Work Group related inbox message after that document has been reported as an error and/or deleted.
- Add to the Document History a recording of Worker Notifications sent. It needs to record the user who sent the Notification and the user to which the Notification was sent. Include the message typed in the Notification into the comments enhancements.
- Include add a Search ability on the Document Imaging inbox. This will allow the user to search for inbox messages by Case Number.

Document Imaging Priority 20 – Region/Circuit Restructuring

- Add database fields to include County, Circuit, and Region
- Allow staff access to multiple Circuits within the system within the same Region, including Security Officers.

Document Imaging Priority 21 - Work Groups Enhancements

- Allow staff that can view a Document from the Search Screen (based on Profile) the ability to Re-index (aka Process) a document if it shows assigned to a Work Group and not assigned to a user already.
- Allow staff that routinely views these documents, such as staff at the Call Centers, will be able to "process" the documents that are in a Work Group to which the user is not a member.

- Change the re-index icon to a "process" button. It would only appear if a document were assigned to a Work Group. When it is clicked, it would allow the user to either:
 - Process the document = remove the Work Group assignment Or
 - Proceed to the Re-index screen
- There should be a warning - pop-up message: "Do you wish to process this Work Group document with no changes?" The user will click Yes or No. If they click "No" have it take them to the Re-index screen. If they click "Yes" it will save this information - just as it does currently when they go to "Re-index" and "Save Index" to get rid of the Work Group assignment.
- When "Processing" Work Group documents and/or Reindexing Work Group documents, there needs to be a comments box that appears where users can enter comments. It would keep the Date/Time information and the userid (Display Name info). The information would be stored and accessible by a Comments button on the Document Search results screen.
- Allow this information to be copied into FLORIDA – CLRC.

Child Support Enforcement Automated Management System (CAMS) Interface

CAMS Phase II is now underway. Currently child support data is stored and maintained in the CSE portion of FLORIDA. Because CSE functionality is moving off of FLORIDA, database and programming changes are required to retain necessary public assistance data. In addition, interfaces between FLORIDA and CAMS will need to be created to update necessary data.

FLORIDA Continuation

Functionality on the legacy FLORIDA system must be maintained. Enhancements will be completed as necessary so as to increase worker efficiency and/or implement changing federal and/or State requirements. Also, as we continue to move forward with other system enhancements, there may be additional FLORIDA changes required for compatibility purposes.

Web Applications/Systems Continuation

The existing web applications (e.g., Web Application, My ACCESS Account, Worker View, AMS, KidCare, FFF, ODS) must be maintained.

Integrated Benefit Recovery System (IBRS) Continuation

Functionality of IBRS must be maintained. Enhancements to this system will be initiated to increase worker efficiency and to address changing federal and/or State requirements.

Document Imaging Continuation

Existing functionality of Document Imaging must be maintained. This includes hardware needs and archiving needs, as well as maintenance needs.

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

The Department has strategically planned the changes to the ACCESS system to enable existing staff to serve more customers in less time. Without funding for the pre-planned information technology improvements that assist in meeting the increase demand, the Department of Children and Families is not able to effectively address increasing client demands. As workload increases, wait times for benefits grow. Longer wait times means that children and adults are hungry longer, medical care is delayed, and some families in financial crises become homeless because of a delay in the receipt of cash assistance payments. Increased wait times raise the probability of secondary social consequences (e.g., education performance declines among children) when primary basic needs are not met in a timely way.

Constraints

Sustaining the efficiency in service delivery (which has enabled the ACCESS program to reduce staffing levels by more than 43% since SFY 2002-2003) has already been negatively impacted by current economic conditions. Current economic conditions are continuing to cause more and more Floridians to seek help from ACCESS’s public assistance programs, and the ACCESS programs currently serve approximately 3 million of the State’s citizens. Staff time and resources are already constrained as caseloads continue to grow, resulting in longer waits for customers to receive benefits and more calls to already overloaded call centers.

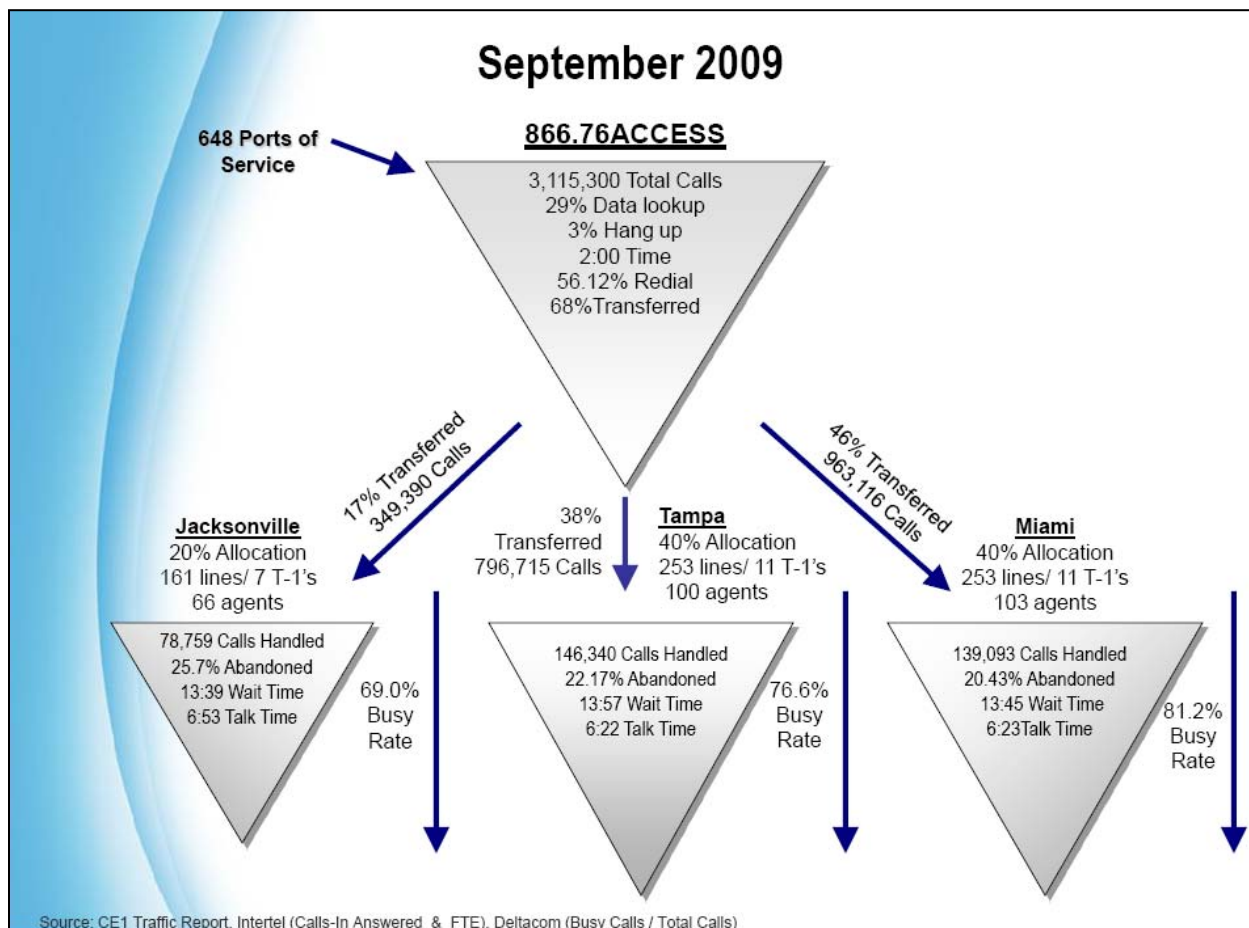
As far back as March 2008, the OPPAGA report No. 08-13 stated “...an unexpected increase in volume of applications has outpaced productivity gains.” As of June 2009, Food Stamp Program recipients had increased 38.5% in from 1,523,253 to 2,109,102; individuals receiving cash assistance increased 24.8% from 80,187 to 100,098; the number of individuals receiving Medicaid benefits climbed from 1,806,432 to 2,115,683; and ACCESS Call Centers’ call volume increased 42% from 1,697,484 to 2,411,110 calls per month.

The following chart from October 2009 shows caseloads have continued to grow over the past year.

		Caseload Change in Past 12 Months (percentage change)			
		Data is Oct 08 to Oct 09 for Cash and Sep 08 to Sep 09 for FS and Med			
Region	Circuit	Cash	Cash Adults	FS	Med
NW	1	-4.5%	-4.6%	35.9%	15.9%
NW	2	22.8%	54.8%	29.3%	11.8%
NW	14	5.4%	9.6%	33.5%	13.5%
NW	Subtotal	4.0%	11.0%	33.4%	14.2%
NE	3	14.6%	40.7%	29.7%	11.5%
NE	4	28.1%	98.4%	43.9%	22.3%
NE	7	20.8%	46.0%	45.2%	20.3%
NE	8	0.8%	16.4%	30.6%	13.7%
NE	Subtotal	19.9%	59.0%	40.6%	19.2%
CNTRL	5	26.6%	53.3%	55.8%	24.8%
CNTRL	9	37.2%	59.2%	58.2%	24.9%
CNTRL	10	31.7%	80.7%	41.3%	18.8%
CNTRL	18	21.4%	46.5%	46.2%	20.6%
CNTRL	19	33.0%	46.8%	47.0%	21.3%
CNTRL	Subtotal	31.0%	56.8%	51.1%	22.6%
SC	6	20.1%	33.1%	40.4%	16.6%
SC	12	46.3%	101.5%	54.9%	23.7%
SC	13	36.9%	70.5%	45.6%	19.4%
SC	20	38.3%	67.1%	57.7%	27.1%
SC	Subtotal	33.0%	62.4%	47.7%	20.9%
SE	15	15.8%	30.0%	45.2%	19.5%
SE	17	15.1%	33.8%	37.8%	16.8%
SE	Subtotal	15.4%	32.3%	40.5%	17.9%
So	11	33.9%	50.5%	32.5%	14.7%
So	16	-7.5%	16.7%	47.5%	19.5%
So	Subtotal	33.4%	50.4%	32.7%	14.7%
State	Total	26.0%	50.4%	42.3%	19.0%

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

As illustrated below, call center volume for the month of September 2009 exceeded 3.1 million calls (with an abandonment rate of over 20% and average call waiting time of over 13 minutes).



The Department continues to identify ways to reduce the strain on existing staff in an environment where additional resources are scarce. In lieu of additional funding from budget issues, the Department has been able to utilize ARRA/TANF Emergency Contingency Funds to temporarily set up an additional call center in Ocala, funded through June 2010. The following is an excerpt from the Department's press release on September 16, 2009:

"The Florida Department of Children and Families (DCF) today announces a subsidized employment program to assist unemployed individuals who may be at risk of welfare dependency. The entire cost of the project is \$2,592,289, and 80 percent of these funds will be available through the American Recovery and Reinvestment Act of 2009. The remaining 20 percent, or \$500,000, will come from DCF trust fund accounts.

Florida's Joint Legislative Budget Commission granted DCF the funding to hire 75 Other Personal Services (OPS) employees to establish a new ACCESS Florida call center in Ocala. In addition to call center sites in Miami, Tampa and Jacksonville, the new center will help provide public assistance to 2.2 million Floridians. The recent loss of a major employer in Ocala was a devastating blow, and this project will help restore economic stability to this community.

...The employment program is a collaborative effort among federal, state and local partners, including Florida's Agency for Workforce Innovation, the City of Ocala, the Economic Development Corporation, local legislative delegation, Marion County and the Workforce Connection. Workforce Connection, an organization which coordinates local employment and training efforts, will identify individuals who are eligible to

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

receive Temporary Assistance for Needy Families (TANF). These individuals will then be referred to the Department as candidates for the call center positions.”

The program is in dire need of additional staff. The most recent workload analysis, which examined the 12-month period from July 2008 to June 2009, concluded that ACCESS needs an additional 729 eligibility workers. Even without the recent increase in caseload due to current economic conditions, as far back as December 2006 a workload analysis revealed a need for an additional 300 FTE. Some small measure of temporary relief has come through ARRA funding for 92 OPS positions in FY 2010-2011, and over the past two years the healthcare provider community has partnered with the ACCESS program to fund 156 eligibility positions to work specifically for the providers.

The ACCESS program continues to assess potential policy and process changes and to implement those that are anticipated to streamline client services.

Sustaining the successes of this modernization effort in the current economic climate has been further jeopardized by reductions in the Department’s Computer Related Expense (CRE) category of funds. Programming resources are through a staffing augmentation contract with Deloitte. The contract, which is with the Department of Children and Families, also provides programming resources for the Department of Revenue’s Child Support Enforcement program which also uses the FLORIDA system. Under the current contract, out of a total of 117 positions, only 31.5 are programming resources DCF’s ACCESS Program, and due to recent unanticipated cuts that number has been reduced to 26.5 positions.

The FLORIDA system environment has changed significantly over the past several years as the Department and the ACCESS program have responded to 2003 and 2004 General Appropriations Act proviso language.

SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

From Chapter 2003-397, Laws of Florida:

The Department is directed to develop a plan to achieve efficiencies contained in Specific Appropriations 359 and 360 in carrying out the eligibility determination activity. The plan shall contain proposals to: (1) outsource the comprehensive eligibility determination functions currently handled by the department during Fiscal Year 2003-2004 to the fullest extent permitted through waiver of federal regulations; or, (2) develop alternative service delivery and administrative efficiencies to utilize in Fiscal Year 2003-2004 which reduce costs; or, (3) achieve a combination of the previous two approaches. This plan is to be developed and submitted to the Executive Office of the Governor, and the Senate and House Appropriations Committees by October 1, 2003.

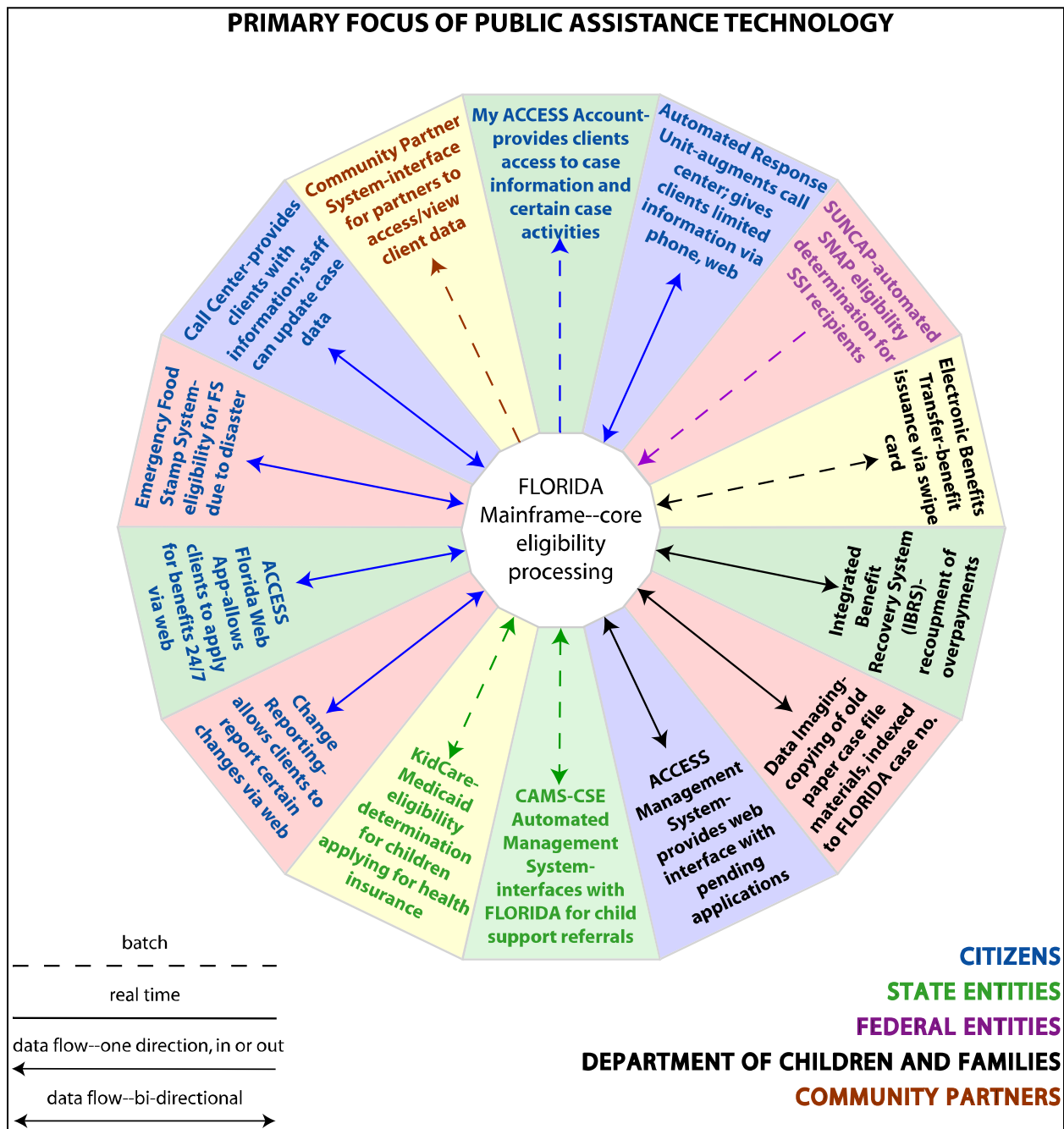
In achieving efficiencies in Fiscal Year 2003-2004, a minimum of 375 full-time equivalent positions are to be eliminated from the Comprehensive Eligibility Services budget entity effective no later than January 1, 2004, and moved by budget amendment to Executive Office of the Governor reserve prior to that time. Should the plan submitted by the Department contain a proposal to outsource some or all of the eligibility determination functions in Fiscal Year 2003-2004, the Department shall submit a budget amendment pursuant to Chapter 216, Florida Statutes, to realign the budget into the appropriate contracted services category and eliminate full-time equivalent positions as contained in the approved plan. The Department shall include an issue in its Fiscal Year 2004-2005 Legislative Budget Request to permanently eliminate positions reduced through this outsourcing and efficiency initiative.

From Chapter 2004-268 Laws of Florida:

The department is directed to develop a plan to achieve efficiencies contained in Specific Appropriations 389, 390, and 391 in carrying out the eligibility determination activity. The plan shall contain proposals to: (1) outsource the comprehensive eligibility determination functions currently handled by the department during Fiscal Year 2004-2005 to the fullest extent permitted through waiver of federal regulations; (2) develop internal departmental alternative service delivery and administrative efficiencies to utilize in Fiscal Year 2004-2005 that reduce costs; or (3) achieve a combination of the previous two approaches. Should any realignment of budget authority be required to achieve full implementation of the department plan, the department may submit the appropriate budget amendments pursuant to Chapter 216, Florida Statutes.

The alternative service delivery approach implemented to comply with the above proviso, coupled with other initiatives, has resulted in the ACCESS program completely re-engineering their public assistance model and empowered citizens of the State to be able to assist themselves via technology, taking advantage of web capabilities, enabling clients to interact with the Department outside of traditional office hours – a necessity since they are, in ever increasing numbers, part of the workforce.

The following illustration depicts the current FLORIDA system environment and shows the related initiatives/solutions/applications that have sprung up around the core of the FLORIDA mainframe – its eligibility processing – to form an umbrella of service delivery. This service delivery approach permits the Department to provide better customer service, maximize resources, and implement process improvements. The result is that the nature of the FLORIDA environment has changed and will continue to do so.



While resources had been sufficient to make progress on the ACCESS modernization initiatives, for SFY 2008-2009 the Department received a \$3,158,000 reduction in Computer Related Expenses (CRE). The only way to implement the CRE reduction was to reduce contracted services costs. As a result, the Deloitte contract was reduced by \$1.5 million. Since the CRE reduction was recurring for DCF, the full impact of the reduction in the Deloitte contract was to programming staff that support the ACCESS Program enhancements. In February 2009 the Department, through a budget amendment, was able to use SNAP bonus dollars to replace what was lost through budget cuts.

A similar scenario has repeated itself for SFY 2009-2010 as base CRE budget is insufficient to support all enhancement efforts beyond December 2009. This has resulted in an annual reduction of \$2.3 million dollars available for programming. Planned improvements to ACCESS Florida to further streamline service provision to the millions of Florida's citizens who

receive help from ACCESS's public assistance programs have already been put on hold, and implementation of efficiencies from planned improvements will be delayed by the need to stretch remaining enhancement dollars over a longer period of time.

The Department had hoped to gain approval via budget amendment to utilize USDA bonus dollars (earned by the ACCESS program for Food Stamp accuracy) to make significant progress on these projects during FY 2009-2010. However, that effort has not yet been successful and the Department is in the process of implementing cost reduction activities that will reduce programming resources immediately and planning for more drastic reductions before the end of the current fiscal year.

Recent policy changes supported by innovations and improvements in the technology provided to staff in the field have produced significant improvements in Food Stamp error rates and have resulted in more than \$23 million dollars in bonus funds being awarded to the State (the department was recently awarded an additional \$11 million). Without the continued improvements that the planned enhancements to ACCESS Florida functionality, the gains recently found stand to be lost due to the continued economic crisis.

Depending on the length of time that staff are collectively faced with the over-demanding situation currently being experienced, we can also anticipate that the turnover rate among staff will increase and productivity levels will be reduced as new staff are recruited and required to be trained, practice and learn to reach maximum performance levels. Organizational performance under-capacity then contributes to the wait time increases and current investments already made in information technology are not fully realized. This creates a cycle of performance consequences related to both customer service and eligibility determination quality.

The Department is not able to predict the length or extent of the current economic conditions driving the increase in hunger, medical care needs, and cash assistance among Floridians that bring them to ACCESS for help. It is not assumed or known that that these continuing changes in ACCESS alone will be adequate to address the crises depending on the length or depth of the economic event. The longer the economic downturn continues the more valuable the ACCESS changes will be in meeting increased demand. However, as noted above, the Department has strategic plans to strengthen ACCESS system functionality for the purposes of workload efficiency.

In summary, failure to fund will result in delays in progress toward meeting critical basic service needs for Floridians, delay in meeting the current cost savings goals established that justified the existing investment in the ACCESS system and will also result in delaying the realization of future savings in public funds.

B. Baseline Analysis

1. Current Business Process Requirements

To support this growth with improved service delivery and workload efficiencies while maintaining our current status of being the best in the nation in Food Stamp accuracy, sustaining and improving upon the integrity of the Department's technology foundation is essential. Each of the technology improvements included in this issue will assist ACCESS staff, which was reduced by more than 43% since SFY 2002-2003, in processing applications timely and accurately and improving customer satisfaction.

These initiatives impact both citizens and staff. Current programming is primarily performed using contract staff to augment a small core of state staff. Without the restoration of funding,

the Department will be forced to eliminate programming staff, and the remaining resources would result in timelines for these critical projects extending over several more years. Without funding to restore the recurring base, the benefit to millions of Floridians achieved by providing staff with the tools necessary to improve workflow, process applications more timely and accurately, and serve Florida's most needy citizens will be negatively impacted.

The current business processes targeted by these initiatives are:

ACCESS Web Application

Questions on the ACCESS Web Application are not currently customized to the type of benefit requested. There are also some programs that are not included within the online application and which require submission of paper applications such as Simplified Eligibility for Pregnant Women (SEPW), Optional State Supplementation (OSS), and the Medicare Savings programs. Staff routinely have to contact applicants to obtain additional information necessary to complete the application process, which increases workload and delays the application process.

ACCESS Management System (AMS) – Application Entry Module (multiple phases)

Caseworkers must evaluate information being supplied by customers against information already available in the FLORIDA system if the customer has applied for, received benefits in the past, or is receiving benefits. Workers are not currently able to view customer-entered data from the web application simultaneously with data already in the FLORIDA system (if any). Performing comparisons requires flipping back and forth between screens in different systems.

Document Imaging Enhancements

There are numerous Document Imaging changes needed to make the process more user friendly and secure, but most pressing are changes related to customer notices and the manner in which documents are indexed.

- Application approvals and denials and changes in benefit levels result in paper notices being sent to customers. Although notices are stored on the mainframe, there is no mechanism to view an electronic copy of these system-generated notices – customers cannot view an online copy of their notices, and caseworkers and call center staff assisting customers cannot view a copy of the notice that was mailed to the customer.
- Current application design indexes documents by case and not by individual. Documents for every individual in the case are linked to the primary information person (PIP). If an individual other than the PIP leaves the household and moves to another case, all documents pertaining to that individual must be manually re-indexed to the new case, a process that is cumbersome and time-consuming.

My ACCESS Account

- The system does not store exact copies of notices sent to customers. Customers are unable to receive and view their notices within their Account.
- Customers who need to submit documents must either bring the documents to the office or mail the documents. Paper documents must be scanned, saved by staff, and potentially returned to the individual.
- Customers who need to replace their Medicaid Gold Card must contact the Department to request a replacement.
- Customers currently cannot complete eligibility reviews, report changes, or apply for

additional benefits online.

Online Printing of Customers Notices

Staff in the field cannot print out the same notice that is mailed to a customer. Local printing of notices must be done through the mainframe system and are in the old format. Printing notices through the mainframe in this way also requires a special printer set-up that is more expensive to maintain than a regular printer.

Change in Benefits without Worker Intervention

Staff must currently begin the processing of applications received through the Web Application. Staff intervention is required to deny Food Stamp benefits. Staff must also process eligibility reviews and changes where benefits either decrease or do not change.

ACCESS Florida Web Portal Single Sign-On

Staff must currently sign on to multiple systems separately. Each system has a separate time-out mechanism which frequently results in staff having to log back in to one system because they were using another system, and time that could be spent processing cases is spent logging in and out of multiple systems.

Electronic Applications Interface

Various third party vendors who provide social services to our customers need to be able to submit a single application electronically to a variety of community resources, including services provided by the Department. Although the Department established the web portal for this interface in 2008, each vendor's request is unique.

2. Assumptions and Constraints

- The Department anticipates completion of roadmap activities by December 2012. This is predicated on sufficient resources available to perform the necessary analysis and programming as well as no other unanticipated projects requiring resources to be redirected from these initiatives due to changes in priorities caused by state or federal law or policy changes, litigation requiring system modifications, or other causes.
- Estimates presume that there is no loss of experienced staff due to lack of funding.
- The schedule is contingent upon the NSRC having sufficient resources to support additional application/database/processing requirements for enhancements implemented after FY 2010-11. Analysis of those needs is in progress.

C. Proposed Business Process Requirements

1. Proposed Business Process

ACCESS Web Application Enhancements

This enhancement would customize the application to the type of benefit(s) being requested, add those paper-based application programs to the on-line application, include additional questions necessary to gather more complete information from customers which would reduce the necessity of staff having to contact customers to complete their application, and add necessary forms and brochures throughout the application as appropriate (such as an income form link on the page with income questions).

ACCESS Management System (AMS) – Application Entry Module

This enhancement will enable caseworkers to view the customer-entered data from the ACCESS web application and My ACCESS Account and match against data from FLORIDA (if available). The caseworker will have the ability to modify data entered by the customer and

initiate the transfer of data into FLORIDA. The business rules will remain in FLORIDA and will use FLORIDA transactions. AMS does not replace FLORIDA and will be used should the Department ever replace FLORIDA with a relational database. This enhancement will be done in several phases.

Document Imaging Enhancements

In addition to the more technical changes to Document Imaging detailed in the roadmap document that will provide a more streamlined, flexible environment, this initiative will

- incorporate copies of notices into document imaging by converting them into a .pdf format, which is compatible with the existing system. Images will be readily available to both customers and ACCESS staff, including call center staff that are assisting customers, through programming changes made to My ACCESS Account functionality.
- redesign the indexing logic to index by individual instead of case. This will make locating documents for individuals who have moved from one case to another much easier and will reduce the effort required to manually re-index documents, freeing up staff time for more critical work.

My ACCESS Account

By allowing customers to fully manage their case and providing more real time access to information, enhancements to existing My ACCESS Account functionality will reduce calls to workers and the customer call centers by allowing:

- customers to receive and view their notices within their My ACCESS Account;
- customers and partners to use the online Account functionality to attach and send in documents needed by the Department to determine eligibility for benefits instead of bringing in or mailing paper copies;
- customers to request a replacement Medicaid Gold Card without having to contact the Department; and
- customers to complete an eligibility review by reviewing rather than re-entering data, report changes in household circumstances without having to call a caseworker, and apply for additional benefits online.

Online Printing of Customers Notices

Printing notices online will allow staff to print the same version of the notice that was sent to the customer instead of the outdated mainframe version of the notice and will allow the Department to eliminate the special printers currently required for mainframe printing.

Change in Benefits without Worker Intervention

This initiative will further automate certain case actions without requiring staff intervention. It will allow applications to be automatically processed upon receipt where all necessary information is received from the Web Application. It will also automate the denial of Food Stamp applications, and allow automatic processing of eligibility reviews or reported changes resulting in either a benefit reduction or no benefit change.

ACCESS Florida Web Portal Single Sign-On

This project will provide a central portal or login page for the systems routinely used by eligibility staff – ACCESS Management System (AMS), Document Imaging, ESS On-Lines, and

Worker View. This will eliminate the need to sign on to each system separately and avoid unnecessary time-outs.

Electronic Applications Interface

While the original electronic applications interface programming was completed and implemented in 2008, as additional community partners wish to use this service, programming will be needed on an ongoing basis to assist them in submitting a single electronic application through the established web service to the Department on behalf of their clients.

2. Business Solution Alternatives

Continue to make enhancements with existing resources. There are insufficient dollars for enhancements to keep the current staffing level of programmers and analysts in place for the entire fiscal year. Without the replacement of lost funding to sustain these improvements, existing experienced staff will be lost and the timeline for completing these projects will extend over several more years. The benefit to customers and staff in improved workflow, the ability to process applications more timely and accurately, and improving customer satisfaction will also be delayed.

3. Rationale for Selection

The more that customers can serve themselves in routine activities, the more time staff can spend on activities that directly affect the distribution of benefits in a timely and accurate manner. Staff time and resources in the field are already constrained as caseloads continue to grow, resulting in longer waits for customers to receive benefits and more calls to already overloaded call centers. The Department is not able to predict the length or extent of the current economic conditions driving the increase in hunger, medical care needs, and cash assistance among Floridians that bring them to ACCESS for help. There is no certainty that that these continuing changes in ACCESS alone will be adequate to address the crises depending on the length or depth of the economic event.

The longer the economic downturn continues the more critical the ACCESS changes will be in meeting increased demand. However, the Department has already made strategic plans to strengthen ACCESS system functionality for the purposes of workload efficiency. Failure to fund will result in delays in progress toward meeting critical basic service needs for Floridians, delay in meeting the current cost savings goals established that justified the existing investment in the ACCESS system and will also result in delaying the realization of future savings in public funds.

4. Recommended Business Solution

The Department recommends restoration of base funding so that ACCESS can move ahead with all projects.

Sustaining the successes of the modernization effort and improving the ability of staff to help those in need in the current economic climate benefits the millions of Florida's citizens who receive help from ACCESS's public assistance programs.

III. Schedule IV-B Cost Benefit Analysis

A. Benefits Realization Table

The table on the following page presents the benefits that will be realized from the successful completion of the initiatives anticipated to be completed.

Each benefit described indicates which initiative in this document will provide the benefit: for example, benefit #1, "Customer manages own account without having to contact Department" will be realized through the My Account initiative.

The Department estimates that implementation of the online printing of customer notices and the shutdown of the existing Intake Management System (IMS) that will result from the implementation of AMS-WM will result in tangible savings. All other benefits are identified as intangible.

The benefits realization begin date allows time for all initiatives associated with a particular benefit to be completed and for customers and staff to become accustomed to the changes. For those benefits associated with multiple initiatives, the realization date reflects completion of the last initiative completed, although some degree of benefit should be realized with each initiative implemented.

Not only has ACCESS modernization already generated significant savings to the State, but sustaining the successes of the modernization effort and improving the ability of staff to help those in need in the current economic climate benefits the millions of Florida's citizens who receive help from ACCESS's public assistance programs.

The Department estimates that implementation of the online printing of customer notices initiative will result in an annual reduction of \$37,672 in current maintenance charges due to the ability to retire printers that are required as long as printing from the mainframe is a necessity. The realization begin date for elimination of DRIP printers represents the first month that the printer maintenance charges could realistically be eliminated and are based on actual charges incurred by the Department.

The annual reduction in NSRC charges resulting from shut-down of the Intake Management System (IMS) is estimated to be \$7,383 and the charges are broken out as follows (data provided by NSRC):

- 3 SQL Databases (test, dev, prod) no longer needed (\$3.54 ea per month) = \$127.44 annual savings
- 400GB/Day Tier2 Managed Disk costs (\$.0091*400 per day) = \$1,328.60 annual savings
- 400GB/Day Backup Service (\$.0204 *400 per day) = \$2,970.40 annual savings
- Offsite Tape Rotation Service (\$61.6024 *4 cartridges per month) = \$2,956.92 annual savings

Additional tangible benefits already realized by the State of Florida as a result of the Department's ACCESS modernization efforts (policy, operational, and technology) are:

- in 2008, the United States Department of Agriculture (USDA) awarded Florida \$5,481,910 in federal bonus dollars because the state ranked first among the three states with the most improved payment accuracy rate during Fiscal Year 2007;
- in 2009, USDA awarded the State of Florida a \$7,179,612 bonus for achieving the best payment accuracy rate in the country for food stamp program benefits; and

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- in 2010, USDA again awarded the State of Florida an \$11,500,000 bonus for payment accuracy.
- In 2008, 2009, and again in 2010 community partners have funded OPS positions for eligibility determination – 97 beginning in FY 2008-2009 and an additional 56 in FY 2009-2010.

A potential future benefit of the My ACCESS Account changes not included in the benefits realization table is that the Department may be able to begin discussing “going paperless” with the cognizant federal agencies, to allow the Department to offer the elimination of printed notification as an option. Given the current estimate of approximately \$8 million in postage costs for this fiscal year, the potential to reduce the number of notices mailed annually could generate significant savings over time. Even without tangible benefits, the additional capabilities provided through changes to My ACCESS Account will allow customers to more fully manage their case and provide more real time access to information and potentially reduce calls to the already-overloaded call centers.

It is possible that tangible savings could be achieved through reduced calls to the customer call centers. However, current call center volumes are so high that it is likely that any savings generated would be negated by pent-up demand. In addition, with so many variables present given the current state of the economy and increasing caseloads, it is not possible to accurately estimate any tangible savings due to reduction in client contact. If and when the economy improves and caseloads fall, the number of calls to the call centers will drop, with the reduction not necessarily being attributable to these changes.

And, while the Department tracks time standard compliance and error rates, it is not prudent to project tangible savings through cost avoidance in these areas as other factors in play concurrently (such as policy changes or caseload fluctuations) could also affect the ability of staff to complete applications in a timely manner or with fewer errors.

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BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Customer manages own account without having to contact Department (My Account, Document Imaging)	Intangible	Applicants and recipients of public assistance	Ability to access/update case information at any time	Increased number of customers who access/update case information and decreased calls to customer call center.	07/2011
2	Staff able to focus on work that ensures customers get benefits in a more timely manner (My Account, AMS - AE, Web Application, Document Imaging)	Intangible	Customer and DCF	Benefits received faster	Reduction in number of cases not in compliance with time standard	10/2013
3	Staff able to focus on work that ensures customers get benefits in a more accurate manner (My Account, AMS - AE)	Intangible	Customer and DCF	Fewer incorrect benefits issued	Reduction in error rate	10/2013
4	Reduced number of calls to Customer Call Center for routine information (My Account)	Intangible	DCF	Reduced telephone costs	Comparison of telephone costs pre-and post-implementation	04/2011
5	Elimination of DRIP printers and maintenance costs (Online Printing of Customer Notices)	Tangible	DCF	Reduction of expenses	Comparison of maintenance costs pre-and post-implementation	07/2011
6	Shut down of Intake Management System (AMS-WM)	Tangible	DCF	Reduction of NSRC charges	Comparison of NSRC charges pre- and post-implementation	04/2010

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BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
7	Providers are willing to pay cost of eligibility positions	Tangible	DCF, healthcare partners, customers	DCF receives eligibility staff with no outlay of funds, healthcare partners have eligibility staff on site, customers get served at provider location.	Total cost of positions provided at no cost to State	2008
8	Bonus from federal partners for payment accuracy	Tangible	State of Florida	Cash award	Amount of cash award made to State	2008 2009 2010

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B. Cost-Benefit Analysis Forms

The complete set of Cost-Benefit Analysis (CBA) forms is located in Appendix A.

Operational costs for the ACCESS program are based on the Approved Operating Budget (AOB) with the following exception: ARRA funding was excluded since it is “emergency” in nature.

Costs for positions funded by community providers were included in the operational costs as they are dollars in the AOB (spending authority) directly related to modernization even though there are no state funds involved.

Additional costs for services provided by NSRC are based on initial rate estimates. Rates are subject to change. Costs for services provided after FY 2010-11 do not reflect any additional infrastructure for application/database/ processing requirements that may be needed to support initiatives with anticipated implementation dates after FY 2010-11 as that analysis has not yet been completed.

C. Cost-Benefit Analysis Results

The following charts show the anticipated payback period for these initiatives, and indicate that the ACCESS modernization has met its breakeven point in the first year of each of the five-year spans, and in looking at the combined project costs and net tangible benefits for all years, the overall project broke even in FY 2005-2006, with a total overall project cost (actual and projected) of approximately \$21 million and net tangible benefits of over \$35 million.

CBAForm 3 - Project Investment Summary		Agency	<u>Children and Families</u>	Project	<u>ACCESS Modernization</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	TOTAL
Project Cost	\$1,703,163	\$906,767	\$1,072,184	\$2,937,463	\$3,422,550	\$10,042,127
Net Tangible Benefits	\$14,126,857	\$35,328,194	\$33,730,159	(\$9,330,212)	\$4,879,502	\$78,734,500
Return on Investment	\$12,423,694	\$34,421,427	\$32,657,975	(\$12,267,675)	\$1,456,952	\$68,692,373
Year to Year Change in Program Staffing	(762)	(1,767)	(571)	0	97	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2004-05	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$61,869,635	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

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CBAForm 3 - Project Investment Summary

Agency Children and Families Project ACCESS Modernization

COST BENEFIT ANALYSIS – CBAForm 3A						
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	TOTAL
Project Cost	\$1,995,143	\$4,621,799	\$2,605,200	\$1,826,800	\$0	\$11,048,942
Net Tangible Benefits	\$15,035,774	\$17,374,027	\$6,469,012	\$6,469,012	\$6,469,012	\$51,816,837
Return on Investment	\$13,040,631	\$12,752,228	\$3,863,812	\$4,642,212	\$6,469,012	\$40,767,895
Year to Year Change in Program Staffing	56	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS – CBAForm 3B		
Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2009-10	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$35,905,773	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield – CBAForm 3C					
Fiscal Year	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

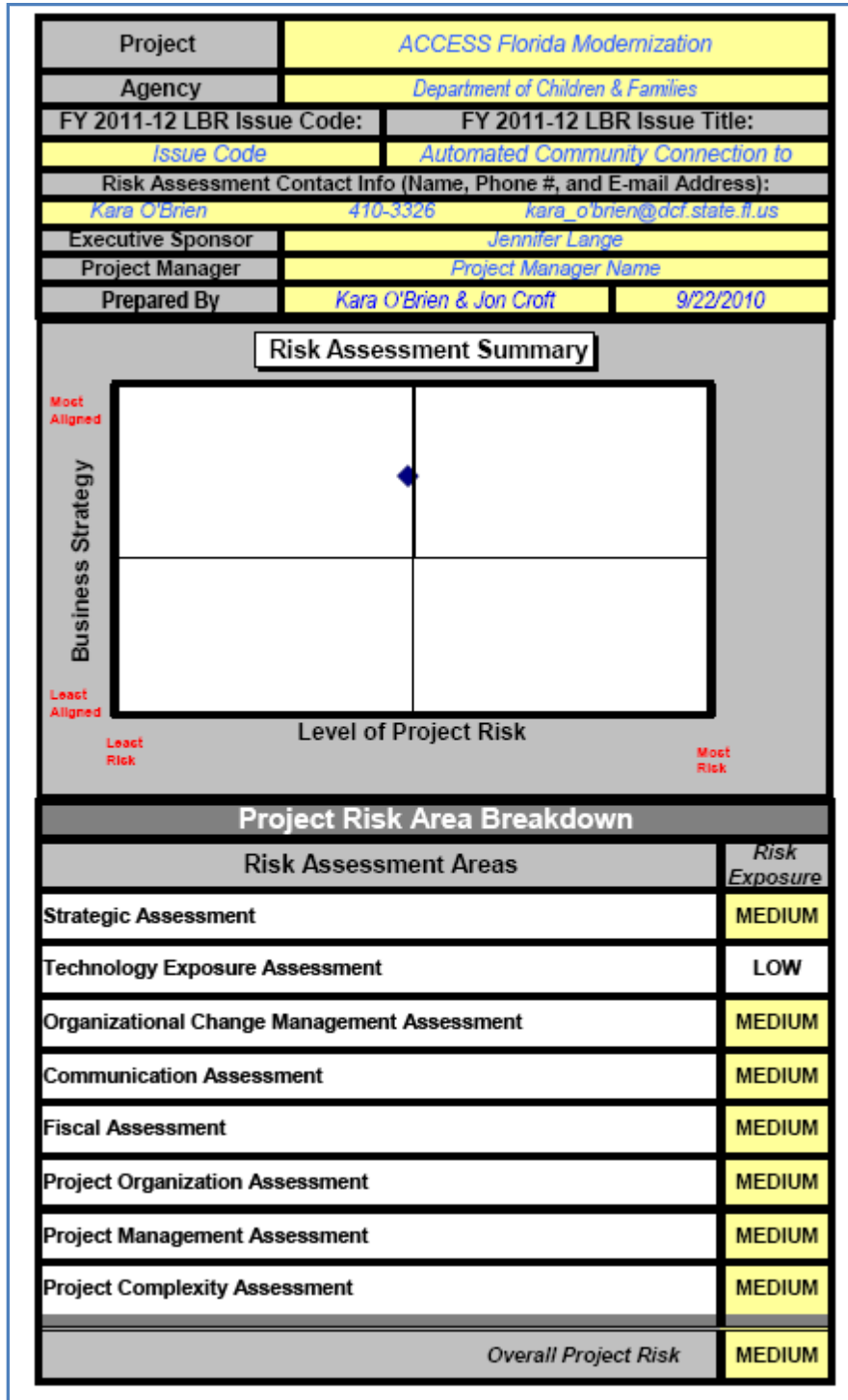
Looking at the modernization efforts of the ACCESS program from FY 2004-05 through FY 2013-2014, the resulting cost benefit calculations indicate a savings to the State of Florida of over \$85,000,000. As presented, the costs associated with the provider funded positions are included both as operational costs and as a benefit, and as such, cancel each other out in calculating ROI. If the dollars associated with those positions are removed from the operating costs since there are no state funds involved, then the ROI increases even more.

The CBA forms for FY 09-10 through FY 13-14 have been updated to reflect the additional \$11.5 million earned by the ACCESS program in 2010 for being the best in the nation in food stamp payment accuracy.

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IV. Major Project Risk Assessment Component

The risk assessment completed for this study includes all initiatives, and has been reviewed and updated. As indicated in the Project Risk Area Assessment Summary Table below, the overall risk remains MEDIUM.



The complete Project Risk Summary Charts are included in Appendix B.

The Department feels that the most significant risks associated with the remaining ACCESS Florida Modernization initiatives are that, given recent experience, funding may not be available on an uninterrupted basis; and that unanticipated projects may arise with competing

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priorities that divert necessary resources from one or more of the initiatives, causing delays.

Section VI, Project Management Planning Component contains risk mitigation strategies.

V. Technology Planning Component

Based on information from the NSRC, additional resources will be required when AMS-AE and Document Imaging enhancements are implemented.

Appendix F contains capacity planning information provided by the Northwood Shared Resource Center (NSRC) that was provided for FY 10-11. We are currently working with NSRC to update this information.

VI. Project Management Planning Component

Project staffing has traditionally been accomplished through a time and materials contract, and will continue to be staffed in that manner for the foreseeable future. This approach allows for staff to be managed in a more flexible manner than a deliverables-based contract. The business environment requires this flexibility due to frequently changing priorities brought about through changes in laws, statutes, regulations and rules at both the federal and state levels that are not under the control of the Department, as well as changes required by litigation and other unpredictable circumstances. In this environment, with a deliverables-based approach, the contract would be constantly under amendment as priorities unexpectedly change, and work could not be shifted until amendments were approved. With the number of activities occurring simultaneously, contract management would become onerous and counterproductive to efficient work flow.

The current contract, recently extended for three years, does not expire until June 2012. Changing the contract at this point would result in the need to re-procure and regain federal approval—a process that can take many months to bring to conclusion, especially if a protest occurs. Re-procurement also brings with it the possibility of vendor change, and that could result in the loss of years of expertise in the current systems and the business knowledge the technical staff have gained over the years.

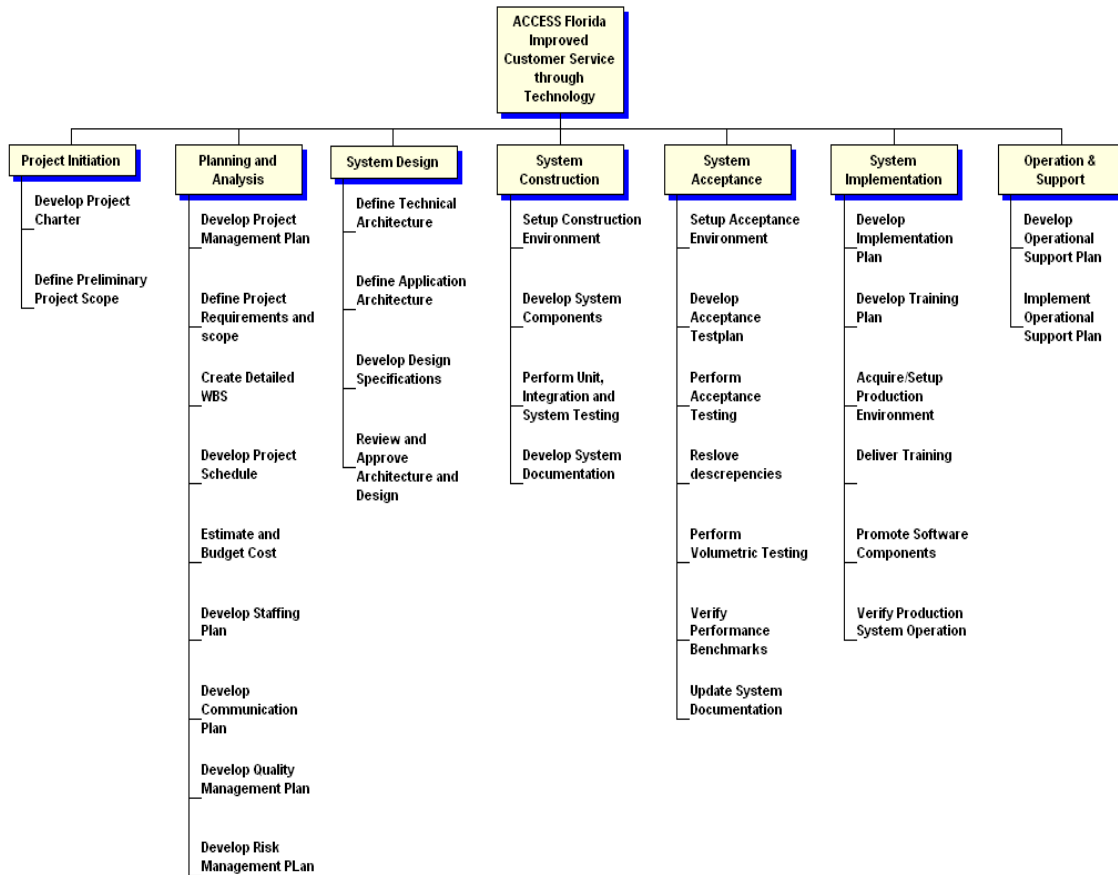
A. Project Charter

Prior to beginning each initiative, an Information Systems Service Request (ISSR) is developed for each initiative. The ISSRs document the business needs and characteristics of the requested improvements and are approved by the ACCESS Program Office and Information Technology Services management teams. The approved ISSRs serve as the Project Charter.

B. Work Breakdown Structure

The WBS below provides a summary level illustration of the work required to complete each of the improvements in this request. Upon initiation of the work, during the project scope planning process a detailed Work Breakdown Structure will be developed. The resulting WBS will divide all of the major project deliverables and work into smaller, detailed components.

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C. Resource Loaded Project Schedule

The FY 2010-11 Project Schedules for each initiative are included in Appendix C. Also included with each project schedule is a list of deliverables.

D. Project Budget

The FY 2010-11 Project Budget is included in Appendix D.

E. Project Organization

The Department anticipates no special organizational requirements for these initiatives. Technical staff will report to current supervisors and managers, and the Department will not have to make any adjustments to current structures to support these initiatives.

F. Project Quality Control

There are no special quality control requirements for these initiatives. Existing formal and informal quality control processes and procedures will be followed. Unit level testing and System Integration testing will be conducted by the Information Technology Services staff members and User Acceptance Testing will be performed by staff from the ACCESS program office.

In addition, volumetric testing (stress testing) to measure and ensure acceptable system performance based on Department benchmarks will also be performed prior to the implementation.

G. External Project Oversight

The modernization initiatives are subject to routine review and audit by internal and external

state and federal auditors on an as-needed basis.

We will continue to follow standard project management practices and conduct internal reviews to ensure we address and mitigate any risks before they impact any of these initiatives.

H. Risk Management

The Department will use established project risk management processes for these initiatives. The processes will include ongoing risk identification, risk analysis and risk planning to avoid and/or mitigate identified risks.

The table on the following page identifies the risks most likely to impact the Department's ability to complete the modernization initiatives as planned.

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Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
Experienced contract staff scheduled to work on initiatives must be terminated due to lack of funding/ completion of one or more initiatives delayed or terminated prior to completion	Medium	Low	Secure funding to retain experienced staff	ACCESS Program
Application design constraints/functionality does not work as anticipated	Low	Low	Frequent design reviews by system architecture expert	Project manager
Funds not available when needed/completion of one or more initiatives delayed or terminated prior to completion	Medium	Low	Prioritize initiatives and only begin work on initiative if there is sufficient funding to ensure completion	Information Technology Services Administrative Services
Changes to federal or state policies that govern the business processes/programming requirements must be adjusted to conform to change in policies	Low	High	Keep abreast of Legislative initiatives that pertain to policies incorporated in this project to identify changes as early as possible	ACCESS Program
NSRC must have sufficient resources to support implementation of these changes/changes cannot be implemented, initiatives are delayed beyond federally mandated deadlines, and department is out of compliance with federal requirements	High	Low	NSRC must be proactive in finding ways to obtain necessary infrastructure to support customer needs	NSRC Director

I. Organizational Change Management

As ACCESS modernization changes progress, the Department will determine the level of training needed by either customers or staff. Changes to My ACCESS Account that affect customers will be communicated by email for individuals who have provided the Department with a valid email address; [it will be necessary to add appropriate language to customer notices for other individuals](#). Each change will be reflected in online help functionality. Changes to the ACCESS Management System will require face-to-face training, which will be handled through normal training processes. Other system changes will be shared with staff in writing and/or online training as appropriate.

J. Project Communication

Routine, established formal and informal project communication processes and procedures will be used to coordinate the planning, requirements analysis, design, construction, testing and implementation phases. All groups involved in will be working together and in constant communication during all phases of the work.

K. Special Authorization Requirements

No prior approvals are needed from federal agencies. The additional funding requested will still be within the original contract amount already approved by federal agencies.

VII. Appendices

Appendix A: Cost-Benefit Analysis Forms (*updated*)

Appendix B: IT Project Risk Assessment Tool (*updated*)

Appendix C: Project Plans

- FY 2010-11

C-1: ACCESS Web Application (*updated*)

C-2: ACCESS Management System (AMS) – Application Entry Module (Phase I)

C-3: Document Imaging Enhancements (*updated*)

C-4: My ACCESS Account (*updated*)

C-5: Online Printing of Customers Notices (*updated*)

- FY 201-12

C6: AMS Phase II

C-7: Change in Benefits without Worker Intervention

C-8: ACCESS Florida Web Portal Login

Appendix D: Overall Modernization Project Plan (remaining projects) (*updated*)

Appendix E: Project Budget (*updated*)

Appendix F: NSRC Capacity Plan

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Appendix A: Cost-Benefit Analysis Forms

State of Florida TRW Cost Benefit Analysis

APPENDIX A

Fiscal Year 2010-2011 Cost Benefit Analysis Guidelines

CBA Form 1 - Net Tangible Benefits

Agency Children and Families Project ACCESS Modernization

Agency (Operations Only - No Project Costs)	FY 04-05			FY 05-06			FY 06-07			FY 07-08			FY 08-09		
	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel - Total FTE Costs (Salaries & Benefits)	\$241,171,194	(\$10,299,927)	\$230,871,237	\$230,871,237	(\$27,543,886)	\$203,227,351	\$203,227,351	(\$44,338,948)	\$158,888,403	\$158,888,403	\$11,789,470	\$170,677,873	\$170,677,873	\$5,531,290	\$176,209,163
A.b. Total FTE	7,218.00	(781.50)	6,446.50	6,446.50	(1,766.50)	4,680.00	4,680.00	(571.00)	4,109.00	4,109.00	0.00	4,109.00	4,109.00	97.00	4,206.00
A-1.a. State FTEs (Salaries & Benefits)	\$237,652,174	(102,304,100)	\$0	\$227,422,133	(275,499,000)	\$0	\$199,872,738	(443,389,480)	\$155,533,790	\$155,533,790	117,894,700	\$0	\$167,323,260	369,062.00	\$0
A-1.b. State FTEs (# FTEs)	7,208.00	(781.50)	6,446.50	6,446.50	(1,766.50)	4,680.00	4,680.00	(571.00)	4,109.00	4,109.00	0.00	4,109.00	4,109.00	0.00	4,109.00
A-2.a. OPS FTEs (Salaries)	\$1,262,158	(\$69,886)	\$982,272	\$982,272	(\$94,491)	\$887,781	\$887,781	\$0	\$887,781	\$887,781	\$0	\$887,781	\$887,781	\$1,840,328	\$2,728,109
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	97.00	97.00
A-3.a. Staff Augmentation (Contract Cost)	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others - Costs	\$48,862,633	(\$3,626,930)	\$45,035,703	\$45,035,703	(\$7,884,308)	\$37,351,395	\$37,351,395	\$10,608,789	\$47,960,184	\$47,960,184	(\$2,459,258)	\$45,500,926	\$45,500,926	(\$3,088,554)	\$42,412,372
E-1. Trainings	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other	\$48,862,633	(\$3,626,930)	\$45,035,703	\$45,035,703	(\$7,884,308)	\$37,351,395	\$37,351,395	\$10,608,789	\$47,960,184	\$47,960,184	(\$2,459,258)	\$45,500,926	\$45,500,926	(\$3,088,554)	\$42,412,372
Total of Operational Costs (Rows A through E)	\$290,033,797	(\$14,126,857)	\$275,906,940	\$275,906,940	(\$35,328,194)	\$240,578,746	\$240,578,746	(\$33,730,159)	\$206,848,587	\$206,848,587	\$9,330,212	\$216,178,799	\$216,178,799	\$2,442,736	\$218,621,535
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$7,322,238	
F-1. SNAP Bonus from USDA		\$0			\$0			\$0			\$0			\$5,481,910	
F-2. Provider funded positions		\$0			\$0			\$0			\$0			\$1,840,328	
F-3. Other		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$14,126,857			\$35,328,194			\$33,730,159			(\$9,330,212)			\$4,879,502	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE - CBA Form 1B		
Choose Type	Estimate Confidence	Enter % (F1)
Detailed/Rigorous	<input checked="" type="checkbox"/> Confidence Level	0%
Order of Magnitude	<input type="checkbox"/> Confidence Level	
Placeholder	<input type="checkbox"/> Confidence Level	

Guidelines for Preparing the Feasibility Study for Information Technology Projects

Version 2.0

Note 1: E3 contains other programmatic ACCESS AOB categories such as Expenses, OCO, Contracted Services, Risk Management, etc

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

State of Florida TRW Cost Benefit Analysis

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Fiscal Year 2010-2011 Cost Benefit Analysis Guidelines

CBAForm 2 - Project Cost Analysis

Agency	<u>Children and Families</u>	Project	<u>ACCESS Modernization</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$1,703,163	\$906,767	\$1,072,184	\$2,497,665	\$2,797,093	\$8,976,872
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Servers & Tapes</i>	\$0	\$0	\$0	\$0	\$282,431	\$282,431
COTS Software	\$0	\$0	\$0	\$334,398	\$332,526	\$666,924
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>Onsite Setup</i>	\$0	\$0	\$0	\$105,400	\$10,500	\$115,900
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$1,703,163	\$906,767	\$1,072,184	\$2,937,463	\$3,422,550	\$10,042,127
CUMULATIVE PROJECT COSTS	\$1,703,163	\$2,609,930	\$3,682,114	\$6,619,577	\$10,042,127	

INVESTMENT SUMMARY						TOTAL
	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	
General Revenue	\$851,582	\$453,384	\$539,092	\$1,468,731	\$1,711,275	\$5,021,063
Trust Fund	\$851,582	\$453,384	\$539,092	\$1,468,732	\$1,711,275	\$5,021,064
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$1,703,163	\$906,767	\$1,072,184	\$2,937,463	\$3,422,550	\$10,042,127
CUMULATIVE INVESTMENT (*)	\$1,703,163	\$2,609,930	\$3,682,114	\$6,619,577	\$10,042,127	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input checked="" type="checkbox"/>	Confidence Level	0%
Order of Magnitude <input type="checkbox"/>	Confidence Level	
Placeholder <input type="checkbox"/>	Confidence Level	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

State of Florida TRW Cost Benefit Analysis

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CBAForm 3 - Project Investment Summary

Agency Children and Families Project ACCESS Modernization

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09	TOTAL
Project Cost	\$1,703,163	\$906,767	\$1,072,184	\$2,937,463	\$3,422,550	\$10,042,127
Net Tangible Benefits	\$14,126,857	\$35,328,194	\$33,730,159	(\$9,330,212)	\$4,879,502	\$78,734,500
Return on Investment	\$12,423,694	\$34,421,427	\$32,657,975	(\$12,267,675)	\$1,456,952	\$68,692,373
Year to Year Change in Program Staffing	(762)	(1,767)	(571)	0	97	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2004-05	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$61,869,635	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2004-05	FY 2005-06	FY 2006-07	FY 2007-08	FY 2008-09
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

State of Florida TRW Cost Benefit Analysis

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CBAForm 1 - Net Tangible Benefits

Agency Children and Families Project ACCESS Modernization

Agency (Operations Only -- No Project Costs)	FY 2009-10			FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel - Total FTE Costs (Salaries & Benefits)	\$176,209,163	\$2,161,167	\$178,370,330	\$178,370,330	\$588,728	\$178,959,058	\$178,959,058	\$0	\$178,959,058	\$178,959,058	\$0	\$178,959,058	\$178,959,058	\$0	\$178,959,058
A.b Total FTE	4,266.00	56.00	4,262.00	4,262.00	0.00	4,262.00	4,262.00	0.00	4,262.00	4,262.00	0.00	4,262.00	4,262.00	0.00	4,262.00
A-1.a. State FTEs (Salaries & Benefits)	\$171,014,222	\$2,272,999	\$173,287,221	\$173,287,221	\$2,317,224	\$175,604,445	\$175,604,445	\$0	\$175,604,445	\$175,604,445	\$0	\$175,604,445	\$175,604,445	\$0	\$175,604,445
A-1.b. State FTEs (# FTEs)	4,109.00	97.00	4,206.00	4,206.00	56.00	4,262.00	4,262.00	0.00	4,262.00	4,262.00	0.00	4,262.00	4,262.00	0.00	4,262.00
A-2.a. OPS FTEs (Salaries)	\$2,728,109	(\$111,832)	\$2,616,277	\$2,616,277	(\$1,728,496)	\$887,781	\$887,781	\$0	\$887,781	\$887,781	\$0	\$887,781	\$887,781	\$0	\$887,781
A-2.b. OPS FTEs (# FTEs)	97.00	(41.00)	56.00	56.00	(56.00)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832	\$2,466,832	\$0	\$2,466,832
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider - Costs	\$0	\$0	\$0	\$0	\$131,314	\$131,314	\$0	\$131,314	\$131,314	\$0	\$131,314	\$131,314	\$0	\$131,314	\$131,314
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$131,314	\$131,314	\$0	\$131,314	\$131,314	\$0	\$131,314	\$131,314	\$0	\$131,314	\$131,314
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others - Costs	\$42,412,372	(\$4,021,406)	\$38,390,966	\$38,390,966	\$0	\$38,390,966	\$38,390,966	\$0	\$38,390,966	\$38,390,966	\$0	\$38,390,966	\$38,390,966	\$0	\$38,390,966
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>See note 1 below</i>	\$42,412,372	(\$4,021,406)	\$38,390,966	\$38,390,966	\$0	\$38,390,966	\$38,390,966	\$0	\$38,390,966	\$38,390,966	\$0	\$38,390,966	\$38,390,966	\$0	\$38,390,966
Total of Operational Costs (Rows A through E)	\$218,621,535	(\$1,860,239)	\$216,761,296	\$216,761,296	\$720,042	\$217,481,338	\$217,350,024	\$160,694	\$217,510,718	\$217,350,024	\$160,694	\$217,510,718	\$217,350,024	\$160,694	\$217,510,718
F. Additional Tangible Benefits:		\$13,175,535			\$18,094,069			\$6,629,706			\$6,629,706			\$6,629,706	
F-1. SNAP Bonus from USDA		\$7,179,512			\$11,500,000			\$0			\$0			\$0	
F-2. Provider funded positions		\$5,995,923			\$5,584,651			\$5,584,651			\$5,584,651			\$5,584,651	
F-3. Shutdown See Note 2		\$0			\$9,418			\$45,055			\$45,055			\$45,055	
Total Net Tangible Benefits:		\$15,035,774			\$17,374,027			\$6,469,012			\$6,469,012			\$6,469,012	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	20%
Placeholder <input type="checkbox"/>	Confidence Level	

Note 1: E3 contains other programmatic ACCESS AOB categories such as Expenses, OCO, Contracted Services, Risk Management, etc

Note 2: F3 contains costs related to elimination of DRIP printer maintenance as of 4th quarter FY 10/11 (\$37,672 annually) and elimination of NSRC charges to run Intake Management System (IMS) (\$7,383 annually) which is anticipated to be shut down 7/1/2011

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

State of Florida TRW Cost Benefit Analysis

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CBAForm 2 - Project Cost Analysis

Agency Children and Families

Project ACCESS Modernization

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$1,995,143	\$4,470,000	\$2,605,200	\$1,826,800	\$0	\$10,897,143
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$151,799	\$0	\$0	\$0	\$151,799
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$1,995,143	\$4,821,799	\$2,605,200	\$1,826,800	\$0	\$11,048,942
CUMULATIVE PROJECT COSTS	\$1,995,143	\$6,818,942	\$9,222,142	\$11,048,942	\$11,048,942	
INVESTMENT SUMMARY						
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	TOTAL
General Revenue	\$997,571	\$2,150,899	\$1,302,800	\$913,400	\$0	\$5,364,470
Trust Fund	\$997,572	\$2,150,900	\$1,302,800	\$913,400	\$0	\$5,364,472
Federal Match		\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$1,995,143	\$4,301,799	\$2,605,200	\$1,826,800	\$0	\$10,728,942
CUMULATIVE INVESTMENT (*)	\$1,995,143	\$6,296,942	\$8,902,142	\$10,728,942	\$10,728,942	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	20%
Placeholder <input type="checkbox"/>	Confidence Level	

SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

State of Florida TRW Cost Benefit Analysis

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Fiscal Year 2009-2010 Cost Benefit Analysis Guidelines

CBAForm 3 - Project Investment Summary

Agency	<u>Children and Families</u>	Project	<u>ACCESS Modernization</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	TOTAL
Project Cost	\$1,995,143	\$4,621,799	\$2,605,200	\$1,826,800	\$0	\$11,048,942
Net Tangible Benefits	\$15,035,774	\$17,374,027	\$6,469,012	\$6,469,012	\$6,469,012	\$51,816,837
Return on Investment	\$13,040,631	\$12,752,228	\$3,863,812	\$4,642,212	\$6,469,012	\$40,767,895
Year to Year Change in Program Staffing	56	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2009-10	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$35,905,773	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

Appendix B: IT Project Risk Assessment Tool

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Project	ACCESS Florida Modernization		
Agency	Department of Children & Families		
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:		
Issue Code	Automated Community Connection to		
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):			
Kara O'Brien	410-3326	kara_o'brien@dcf.state.fl.us	
Executive Sponsor	Jennifer Lange		
Project Manager	Project Manager Name		
Prepared By	Kara O'Brien & Jon Croft	9/22/2010	
Risk Assessment Summary			
Business Strategy	Level of Project Risk		
	Least Risk	Most Risk	Most Risk
Most Aligned			
Least Aligned			
Least Risk			
Most Risk			
Project Risk Area Breakdown			
Risk Assessment Areas			<i>Risk Exposure</i>
Strategic Assessment			MEDIUM
Technology Exposure Assessment			LOW
Organizational Change Management Assessment			MEDIUM
Communication Assessment			MEDIUM
Fiscal Assessment			MEDIUM
Project Organization Assessment			MEDIUM
Project Management Assessment			MEDIUM
Project Complexity Assessment			MEDIUM
Overall Project Risk			MEDIUM

File: RiskAssessment_FY11-12 Modernization.xls
 Tab: RAForm1ProjectAssessment
 Path: Y:\LBR 2011-2012\ACCESS\Schedule IV-B Modernization\

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 Printed: 10/10/2010
 Template Version 2.0

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 2 – Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/solution options been researched, documented and considered?	No technology alternatives researched	Some alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with similar change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Routine feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% – None or few defined and documented	81% to 100% – All or nearly all defined and documented
		41% to 80% – Some defined and documented	
		81% to 100% – All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested and received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 1 year
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Time and Expense (T&E)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 6 – Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated full-time to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Children & Families

Project: ACCESS Florida Modernization

Section 8 – Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

C-1: ACCESS Web Application

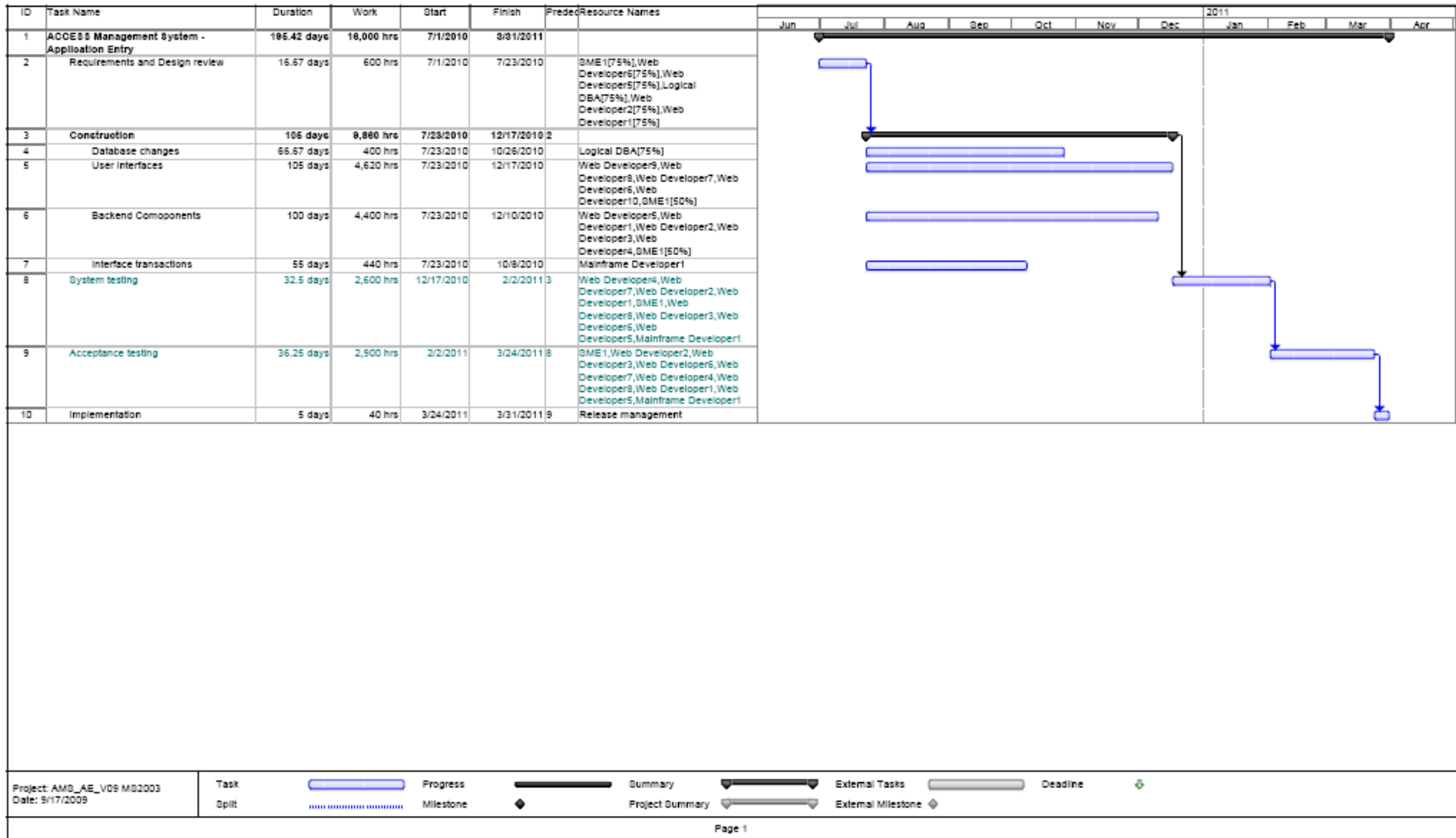


SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

ACCESS Web Application			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Project Plan and Schedule	9/24/2010	80
2	Requirements Definition Document	8/24/2010	95
3	Detailed Design Document	10/29/2010	10
4	System Integration Test Plan and Scripts	3/1/2011	0
5	Application Software and Unit Test Plans	3/11/2011	0
6	System Integration Test Results - Approval	4/14/2011	0
7	User Acceptance Test Plan and Scripts	4/14/2011	0
8	User Acceptance Test Results- Approval	6/23/2011	0
9	Volume Test Plan	5/1/2011	0
10	Volume Test Results and Analysis	5/30/2011	0
11	Implementation Plan	6/1/2011	0
12	Roll Out Plan	6/20/2011	0
13	Application Software - Production Implementation	6/30/2011	0

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

C-2: ACCESS Management System (AMS) - Application Entry Module (Phase I)



SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

AMS Application Entry Project -Deliverables			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	AMS AE - Project Plan and Schedule	7/1/2010	90
2	Requirements Definition Document	7/23/2010	90
3	Detailed Design Document	7/23/2010	70
4	System Integration Test Plan and Scripts	10/19/2010	0
5	Application Software and Unit Test Plans	10/19/2010	10
6	System Integration Test Results - Approval	2/5/2011	0
7	User Acceptance Test Plan and Scripts	2/5/2011	0
8	User Acceptance Test Results- Approval	3/24/2011	0
9	Volume Test Plan	3/4/2011	0
10	Volume Test Results and Analysis	3/11/2011	0
11	Implementation Plan	3/23/2011	0
12	Roll Out Plan	3/29/2011	0
13	Application Software - Production Implementation	3/29/2011	0

Note: This schedule includes only deliverables associated with Phase I of AMS-AE.

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

C-3: Document Imaging Enhancements

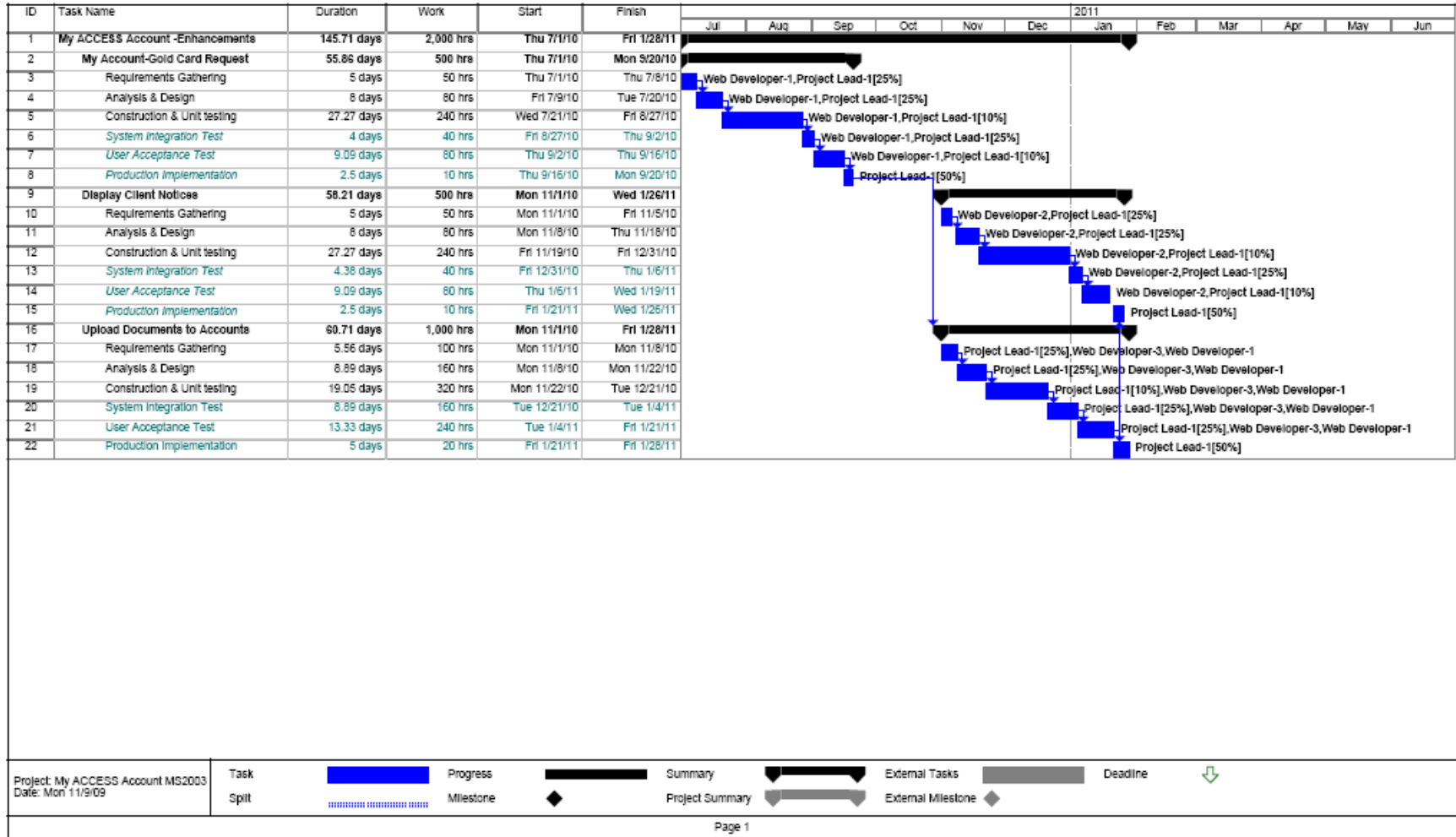


SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

ADI Project -Deliverables			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	ADI - Project Plan and Schedule	7/1/2010	100
2	Requirements Definition Document	7/1/2010	100
3	Detailed Design Document	9/22/2010	75
4	System Integration Test Plan and Scripts	1/27/2011	0
5	Application Software and Unit Test Plans	1/27/2011	0
6	System Integration Test Results - Approval	2/25/2011	0
7	User Acceptance Test Plan and Scripts	2/25/2011	0
8	User Acceptance Test Results- Approval	3/24/2011	0
9	Implementation Plan	3/31/2011	0
10	Roll Out Plan	3/31/2011	0
11	Application Software - Production Implementation	4/13/2011	0

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

C-4: My ACCESS Account



SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

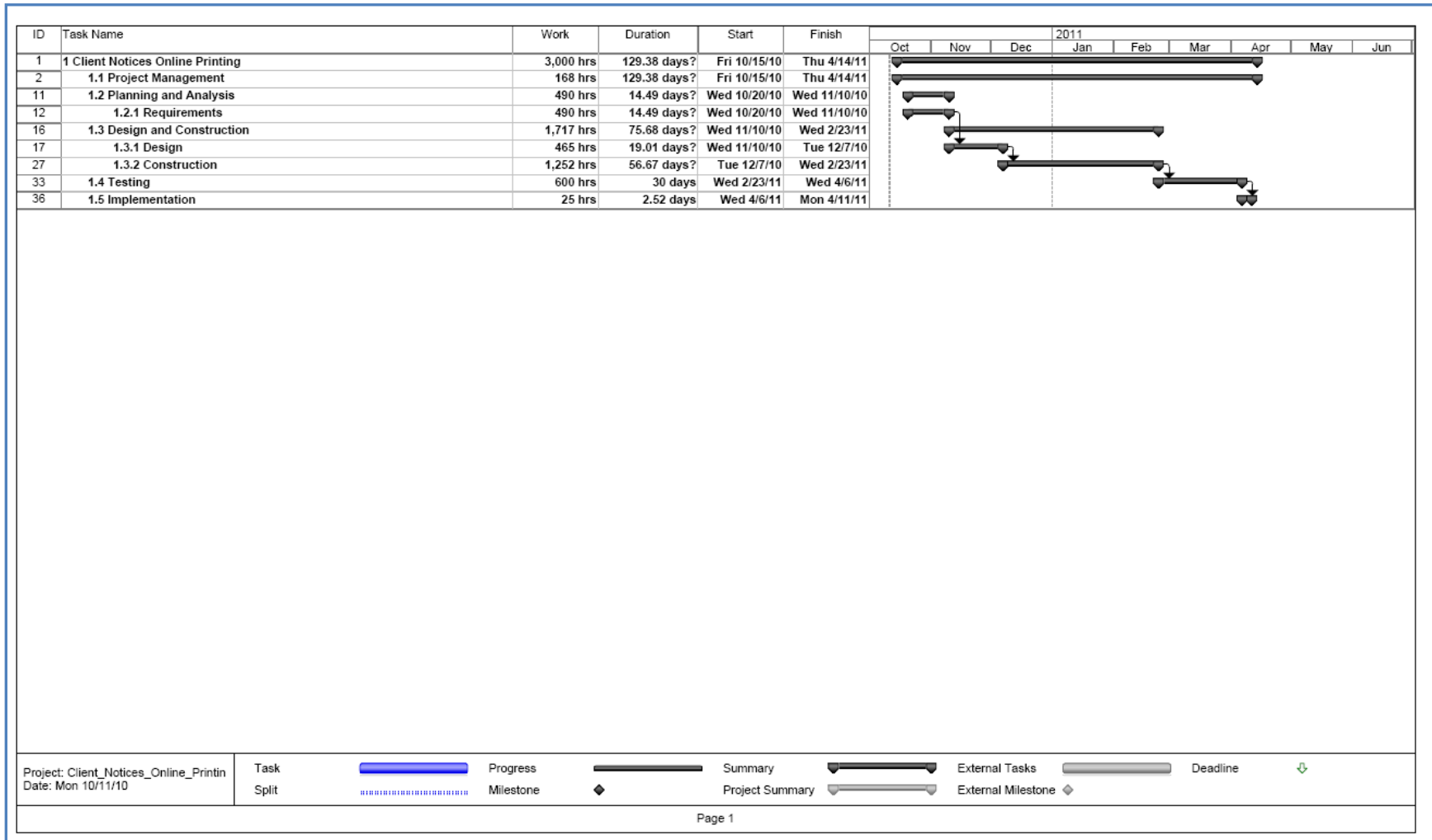
My ACCESS Account - Gold Card Request			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Project Plan and Schedule	7/9/2010	100
2	Requirements Definition Document	7/15/2010	100
3	Detailed Design Document	7/15/2010	100
4	System Integration Test Plan and Scripts	9/1/2010	100
5	Application Software and Unit Test Plans	9/1/2010	100
6	System Integration Test Results - Approval	9/7/2010	100
7	User Acceptance Test Plan and Scripts	9/7/2010	100
8	User Acceptance Test Results- Approval	9/16/2010	99
9	Volume Test Plan	9/7/2010	100
10	Volume Test Results and Analysis	9/10/2010	99
11	Implementation Plan	9/10/2010	100
12	Roll Out Plan	9/18/2010	100
13	Application Software - Production Implementation	9/16/2010	0

SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

My ACCESS Account Upload Documents to Accounts& Display Client Notices			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Project Plan and Schedule	11/22/2010	0
2	Requirements Definition Document	11/22/2010	0
3	Detailed Design Document	12/10/2010	0
4	System Integration Test Plan and Scripts	12/17/2010	0
5	Application Software and Unit Test Plans	12/31/2010	0
6	System Integration Test Results - Approval	1/7/2011	0
7	User Acceptance Test Plan and Scripts	1/7/2011	0
8	User Acceptance Test Results- Approval	1/24/2011	0
9	Volume Test Plan	1/7/2011	0
10	Volume Test Results and Analysis	1/17/2011	0
11	Implementation Plan	1/17/2011	0
12	Roll Out Plan	1/19/2011	0
13	Application Software - Production Implementation	1/26/2011	0

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

C-5: Online Printing of Customers Notices

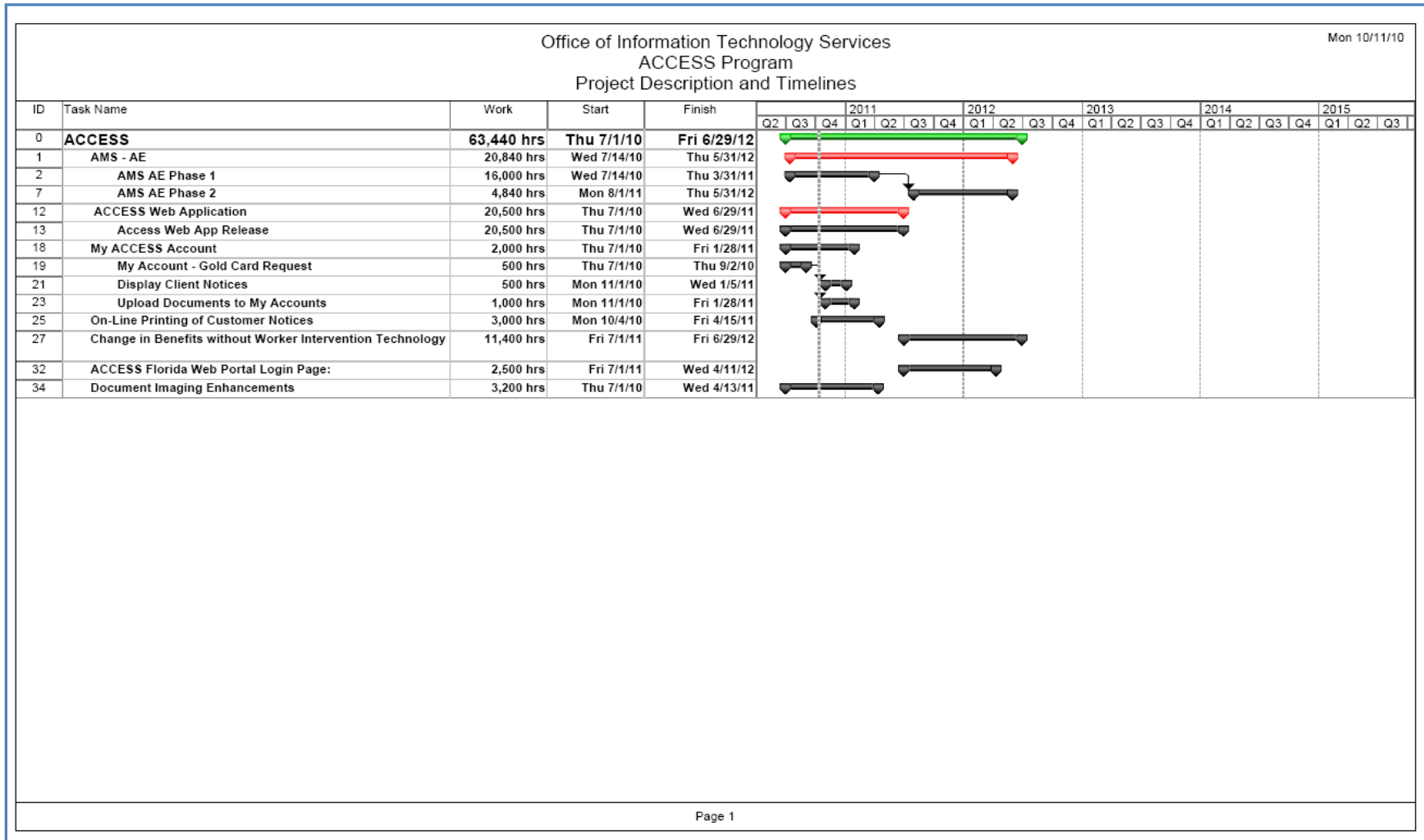


SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION

Client Notices - Online Printing			
No	Deliverable Name - Description	Targeted Completion Date	%Complete
1	Client Notices - Project Plan and Schedule	10/15/2010	0
2	Preliminary Analysis Document	11/10/2010	0
3	Requirements Definition Document	11/10/2010	0
4	Detailed Design Document	12/7/2010	0
5	System Integration Test Plan and Scripts	12/14/2010	0
6	Application Software and Unit Test Plans	12/14/2010	0
7	System Integration Test Results - Approval	3/16/2011	0
8	User Acceptance Test Plan and Scripts	3/16/2011	0
9	User Acceptance Test Results- Approval	4/6/2011	0
12	Implementation Plan	4/7/2011	0
13	Roll Out Plan	4/7/2011	0
14	Application Software - Production Implementation	4/11/2011	0

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

D: Overall Modernization Project Plan (remaining projects)



**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

E: Project Budget – FY 2010-11

State of Florida Schedule IV-B Project Budget Spreadsheet										Fiscal Year 2010-2011		
Project Costs for <u>ACCESS Florida Modernization</u>												
Produced R 40,192.00				For Children and Families				By K. Austin		FY 2010-11		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs - variees		\$1,311,570.00	\$0.00	\$1,406,088.00	\$0.00	\$1,273,461.00	\$0.00	\$478,881.00	\$0.00	\$4,470,000	\$0	\$4,470,000
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Software for Printing Notices		\$151,799.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$151,799	\$0	\$151,799
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$1,463,369	\$0	\$1,406,088	\$0	\$1,273,461	\$0	\$478,881	\$0	\$4,621,799	\$0	\$4,621,799
Progress Payments										\$0	\$0	\$0

Note: Due to slight adjustment in schedule for Client Notices – Online Printing, anticipated quarterly costs have changed. Overall cost estimate has not changed.

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

State of Florida
Schedule IV-B
IT Project Budget

Fiscal Year 2009-2010

Project Costs for ACCESS Florida Modernization												
Produced R 40,192.00			For Children and Families			By K. Austin			FY 2010-11			
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380
Data Processing	\$0	\$0	\$0	\$0	\$151,923	\$151,923	\$0	\$151,923	\$151,923	\$0	\$151,923	\$151,923
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$181,303	\$181,303	\$0	\$181,303	\$181,303	\$0	\$181,303	\$181,303
FTE	0	0	0	0	0	0	0	0	0	0	0	0

Note: Change in operational impact cost reflects revised service charges estimated by NSRC.

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

Project Budget – FY 2011-12

State of Florida
Schedule IV-B
Project Budget Spreadsheet

Fiscal Year 2011-2012

Project Costs for ACCESS Florida Modernization												
Produced R 40,461.00			For Children and Families				By K. Austin		FY 2011-12			
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs-varies		\$123,200.00	\$0.00	\$1,074,267.00	\$0.00	\$1,221,105.00	\$0.00	\$186,628.00	\$0.00	\$2,605,200	\$0	\$2,605,200
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$123,200	\$0	\$1,074,267	\$0	\$1,221,105	\$0	\$186,628	\$0	\$2,605,200	\$0	\$2,605,200
Progress Payments										\$0	\$0	\$0

**SCHEDULE IV-B FEASIBILITY STUDY FOR
ACCESS MODERNIZATION**

State of Florida
Schedule IV-B
IT Project Budget

Fiscal Year 2011-2012

Project Costs for ACCESS Florida Modernization												
Produced R 40,461.00			For Children and Families			By K. Austin			FY 2011-12			
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380	\$0	\$29,380	\$29,380
Data Processing	\$0	\$151,923	\$151,923	\$0	\$151,923	\$151,923	\$0	\$151,923	\$151,923	\$0	\$151,923	\$151,923
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$181,303	\$181,303	\$0	\$181,303	\$181,303	\$0	\$181,303	\$181,303	\$0	\$181,303	\$181,303
FTE	0	0	0	0	0	0	0	0	0	0	0	0

Note: The Operational cost impact shown here is a continuation of that shown in the FY 2010-11 project budget worksheet .

CAPACITY PLAN FOR NSRC INFRASTRUCTURE TO SUPPORT DCF ACCESS INITIATIVES

Note: This information was provided by NSRC for FY 10-11. We are currently working with NSRC to get an update.

I. Summary and Introduction

The department's ACCESS applications are the core systems through which clients may access their case records and workers maintain their case history. The current system does not include the ability to capture and maintain the original client notice document sent to clients. This enhancement to the system requires additional storage capacity and performance improvements in order to accommodate the additional processing load.

This enhancement will build on the existing ACCESS Document Imaging (ADI) application and the ACCESS Management System (AMS) infrastructures by adding disk capacity, upgrading old equipment, and adding new equipment. Additional disk capacity is required to accommodate the storage of the client notice documents in a universally compliant portable document format (PDF) and accommodate the growth of the associated database records. The replacement of existing application servers will increase performance and reliability and reduce recurring costs for maintenance of the old equipment. The addition of new database servers will increase the overall performance capacity of the application environment by adding to existing database servers (Oracle RAC). All database servers will gain increased performance through the use of new Solid State Disk (SSD) technology.

The Florida Operational Data Store (FLODS) is an integral component of the ACCESS program environment. Current statistics show that the database processing exceeds the processing capacity of the hardware on a nightly basis. The single database server will be replaced with an Oracle RAC environment of two new servers, each having greater capacity than the current system and, in the RAC environment, providing redundancy for access to the database.

II. Scope of the Plan

This section should identify the IT services and IT equipment the agency intends on adding or replacing within the scope of this capacity plan to maintain or improve the IT services.

This capacity plan addresses the following IT services:

- The addition of high density disk capacity to provide storage for client notices
- The addition of high speed disk capacity to provide for performance improvement (high-end table processing)
- Additional database server to address the increased load expected to be placed on the database due to planned application functional enhancements
- New Oracle database licenses for the additional database servers

- Replacement of aging existing application and database servers
- Addition of new application servers
- Upgrade and addition of server operating systems
- New infrastructure support hardware

This capacity plan addresses the following equipment:

Equipment (Brand name & model)	Quantity	Original Purchase Date	Replacement Cycle
IBM x346 (existing)	10	6/2005	06/2010
HP DL585 G2 (2xDC, 32GB RAM)	1	7/2007	07/2012
1 CPU quad-core blade production application servers 16GB memory (proposed)	9		5 years
2 CPU quad-core blade production database servers 32GB memory (proposed)	3		5 years
1TB SATA/FATA disk (proposed)	32		5 years
2 TB Solid state Disk for Oracle RAC High-end table processing (proposed)	1		5 years

III. *Methods Used*

The agency used the following methods to obtain the information provided in this capacity plan:

Method 1

Identified servers and storage arrays that will be 5 years or older requiring expensive maintenance contracts to maintain.

Server operating systems that will need to be upgraded to avoid end-of-life support conflicts have been identified.

Capacity analysis of data at current and projected growth rates and the impact of the additional data on current storage capacity requires additional disk storage.

Analysis of performance of existing equipment under current operational load and testing of the impact of new application functionality on the existing equipment requires upgrades to the existing hardware.

Method 2

Research through performance testing of the application on existing hardware with the additional application functional enhancements projected for this fiscal year indicates that the performance of the existing hardware is inadequate to support the projected number of clients that will be using the system.

IV. Assumptions & Constraints

The information in this capacity plan is based on the following assumptions:

Assumption 1

The ACCESS Program Office needs to improve the delivery and accessibility of information to their clients.

Assumption 2

There are approximately 45 million pages of client notices per year. A growth factor of 10 percent in the number of pages and the associated storage requirements has been used for calculating capacity requirements.

Assumption 3

The additional application functionality will increase the usage of the application by clients and will cause an increased load on all aspects of the application environment (i.e., storage capacity, application and database servers).

The information in this capacity plan is based on the following constraints:

Constraint 1

The NSRC does not have sufficient resources to support the client notice storage requirements and functionality enhancements.

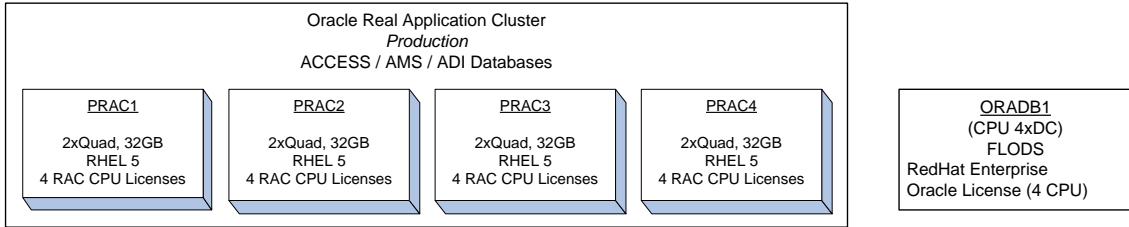
Constraint 2

The resources needed by the NSRC must be purchased out of state funds. Federal reimbursements will be received over time in accordance with the approved federal cost allocation plan.

V. Business Scenarios

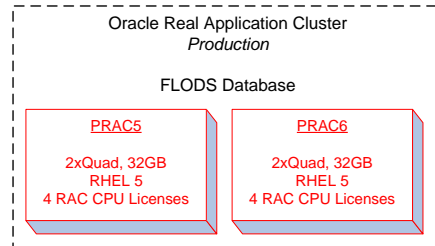
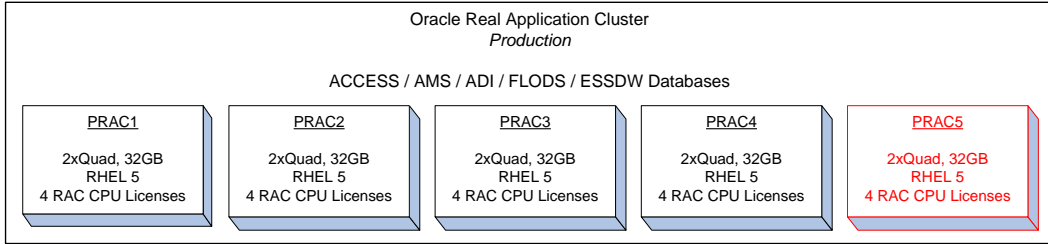
The diagram below describes how the existing database environment will change with the addition of the three new database servers.

Oracle Environment As Of 9/2009

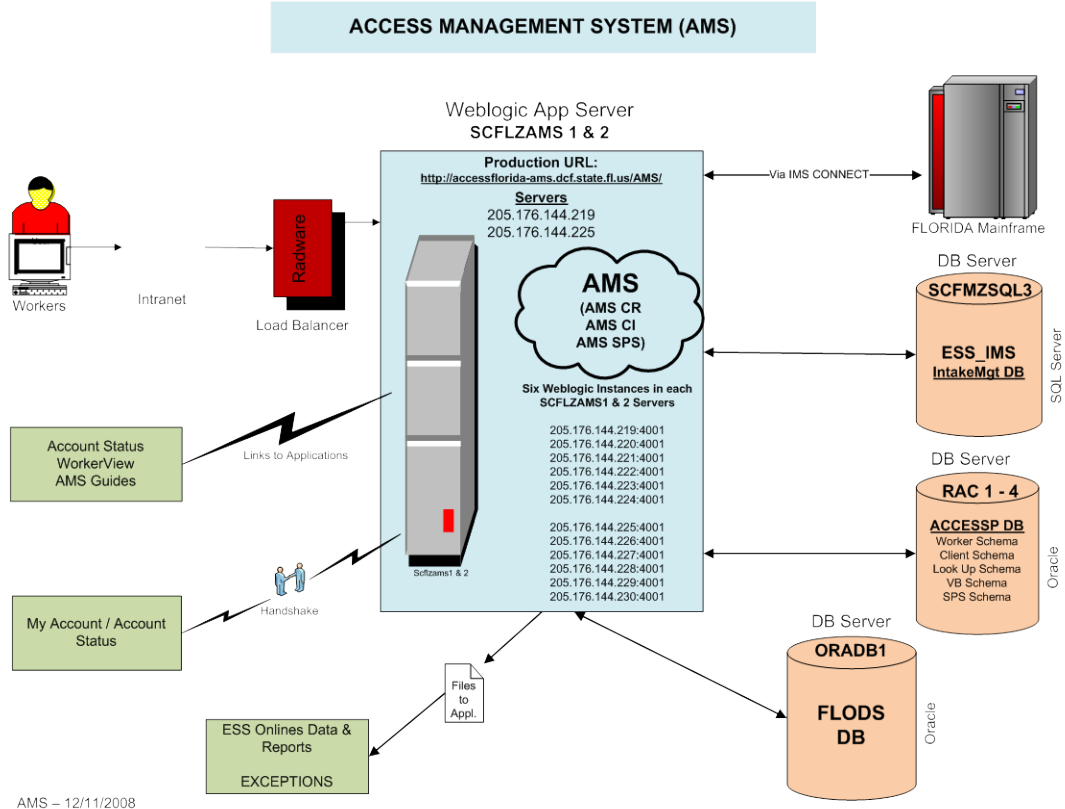


Proposed (SFY 10/11)

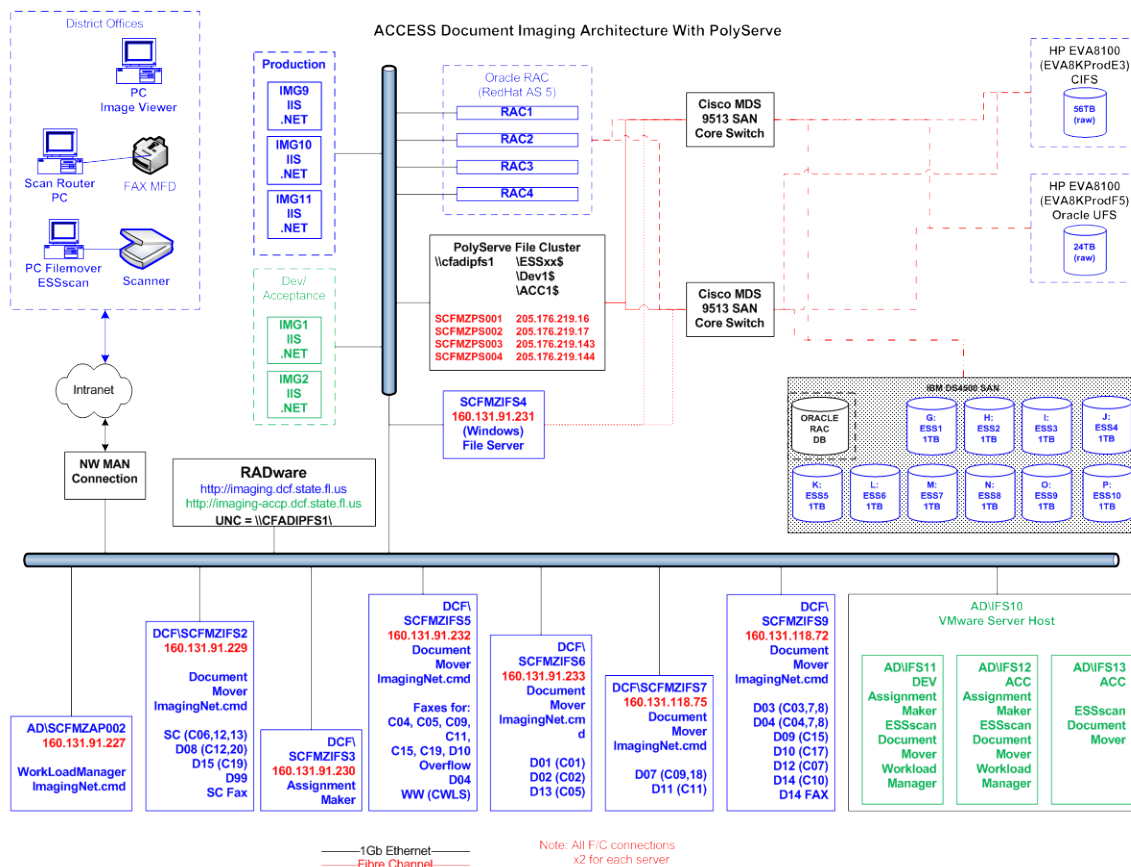
- Add a new server to the existing RAC



The diagram below describes the existing AMS application architecture. The two WebLogic application servers (SCFLZAMS1 & SCFLZAMS2), represented here by the large blue box in the middle, will change to a four-server cluster. The new servers will have sufficient memory to accommodate more virtual instances.



The diagram below describes the existing ACCESS Document Imaging Architecture. The seven boxes, SCFMZAP002, SCFMZIFS2, SCFMZIFS3, SCFMZIFS5, SCFMZIFS6, SCFMZIFS7 and SCFMZIFS9 will be replaced by five of the new application servers. These new servers will also process the client notices. The additional disk storage will be added to the HP EVA SAN environment and will be accessible through the HP PolyServe® file cluster.



VI. Service Capacity Summary

A. Current and Recent Service Provision

ACCESS Document Imaging provisioning by region (production):

Description	Provisioned
Document Storage	56TB (RAW)
Document processing application servers	6

ACCESS Management System provisioning by region (production):

Description	Provisioned
Application servers	2

Resources shared by ADI and AMS

Description	Provisioned
Database servers	4

B. Capacity Forecasts

The typical growth rate indicates that ACCESS program usage increases at a rate of about 10 percent annually.

VII. Resource Capacity Summary

A. Current and Recent Resource Usage

Current ACCESS Document Imaging statistics:

Description	Usage	Growth Rate
Document Storage	13TB (RAW)	265GB/Mo
Number of Documents	54 million+	35k/day

B. Resource Forecasts

The resources identified in Section II were identified to resolve the identified business enhancements within the ACCESS Management System (AMS) and ACCESS Document Imaging (ADI) system. These identified problems can be resolved with the purchase of new hardware that is tailored to application and database deployment following department “best business” practices

VIII. Opportunities for Improvement

Maintaining the current environment will not provide an adequate hardware, software and application configuration that will meet the stated ACCESS business problems.

The proposed solution is to use the Request for Quote (RFQ) processes to select a qualified vendor of well-established and well-tested hardware and software platforms. This will be used by stakeholders as needed to resolve the above business problems at the local, state and federal levels.

The hardware resource model Information Systems utilized for architecting this issue takes advantage of industry trends in server and SAN technology as well as architecting an environment that will protect and safeguard the production environment with fail over and redundancy. The hardware is enterprise-class equipment with built in redundancy to reduce the risk of single point of failure due to hardware. The operating system and application platform software will have will be clustered to limit the effect of a catastrophic hardware failure on system performance and accessibility.

IX. *Cost Model*

TOTAL PROJECT COSTS (BY MAJOR COMPONENT, IF APPLICABLE) FOR ALL YEARS:

	Request FY 2010-2011	Nonrecurring FY 2010-2011
NORTHWOOD SHARED RESOURCE CENTER:		
INFRASTRUCTURE TO SUPPORT DOCUMENT IMAGING:		
Disk Capacity (Client Notices stored in Doc Imaging)	\$ 56,000	\$ 56,000
Disk Capacity (Oracle RAC, High-end Table Processing)	\$ 254,000	\$ 254,000
Database servers (3 @ \$20,000 ea)	\$ 60,000	\$ 60,000
Oracle processor licenses (4 @ 38,500 ea)	\$ 154,000	\$ 123,200
Application servers (9 @ \$10,000 ea)	\$ 90,000	\$ 90,000
Application server software (4 @ \$30,000 ea)	\$ 120,000	\$ 96,000
Infrastructure Support (Racks, Network, SAN Core, etc)	\$ 44,000	\$ 44,000
	-----	-----
	\$ 778,000	\$ 723,200

Recommendations

The purchase of this equipment and software will allow for increased accountability for all stakeholders by providing better access to the data by state, district, community-based provider organizations, and clients.

The lack of funding for this issue will impact the ability to continue to provide enhancements to the AMS and ADI applications, will not allow clients to access their notices online, and will continue the negative trend in the performance of the current systems.

DEPARTMENT OF CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

ACCESS FLORIDA HEALTH CARE REFORM

FOR

FISCAL YEAR 2011-12



State of Florida

The Florida Legislature

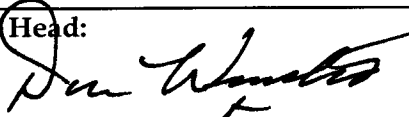
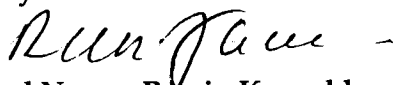
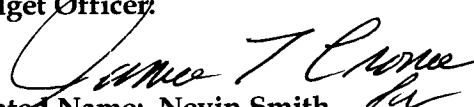
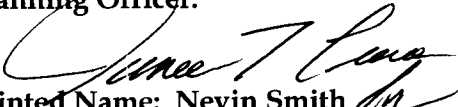

Governor's Office of Policy and Budget

October 15, 2010

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet (All Agency Project Approval)	
Agency: Children and Families	Schedule IV-B Submission Date: October 15, 2010
Project Name: ACCESS Florida Health Care Reform	Is this project included in the Agency's LRPP? X Yes ___ No
FY 2011-12 LBR Issue Code: 36203C0	FY 2011-12 LBR Issue Title: Automated Community Connection to Economic Self-Sufficiency (ACCESS) Florida Health Care Reform
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz 487-8902 lori_schultz@dcf.state.fl.us	
<p>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.</p>	
Agency Head:  Printed Name: George H. Sheldon	Date: 10/13/10
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: October 13, 2010
Budget Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Planning Officer:  Printed Name: Nevin Smith	Date: October 13, 2010
Project Sponsor:  Printed Name: Jennifer Lange	Date: 10.13.2010
Schedule IV-B Contact (Name, Phone #, and E-mail address)	
Business Need:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us
Cost Benefit Analysis:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us David Hines 921-5564 david_hines@dcf.state.fl.us
Risk Analysis:	Kara O'Brien 410-3326 kara_obrien@dcf.state.fl.us Jon Croft 921-5472 jon_croft@dcf.state.fl.us
Technology Planning:	NSRC
Project Planning:	Kathy Austin 921-2280 kathy_austin@dcf.state.fl.us Jon Croft 921-5472 jon_croft@dcf.state.fl.us

II. Schedule IV-B Business Case

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

ACCESS Florida (Automated Community Connections to Economic Self Sufficiency, formerly known as the Economic Self-Sufficiency Programs), is the Department's retooled and modernized public assistance service delivery program. This model is based on streamlined workflows, policy simplification and technology innovations. ACCESS Florida provides enhanced access to services through a combination of state staff and a community partnership network as community providers agree to serve as additional portals to ESS services for clients mutually served by the partner agency and the Department of Children and Families.

This modernized system offers self-directed opportunities and 24/7 service. This model reduces the investment of time required by customers to apply for or continue receiving public assistance. Many of our customers are employed or under-employed and often cannot afford to take time off their job to participate in the eligibility process. By streamlining program efficiency and providing new levels of access and technological support, customers may achieve new levels of self sufficiency.

The ACCESS program provides the following services to the citizens of Florida:

- **Temporary Cash Assistance** provides cash assistance to families with children under the age of 18 or under the age of 19 if full time secondary school students that meet the technical, income, and asset requirements. The program helps families become self-supporting while allowing children to remain in their own homes.
- **Food Stamps** (now known as SNAP) helps low-income individuals and families that meet the technical, income and asset requirements of the program to buy the food they need for good health.
- **Medicaid** provides medical coverage to low-income individuals and families that meet the technical, income and asset requirements of the program. The Agency for Health Care Administration administers Medicaid services, while the Department of Children and Families determines Medicaid eligibility.

2. Business Objectives

The business objective of this initiative is to comply with federal healthcare reform legislation – the Patient Protection and Affordable Care Act (PPACA).

B. Baseline Analysis

1. Current Business Process Requirements

Individuals and/or families in need of medical assistance can currently apply for benefits online, by phone, or in person. Eligibility staff process the application, request additional proof of eligibility based on individual circumstances and agency policy, use the FLORIDA system to make a determination of eligibility, and notify the individual/family of the disposition of the application. Individuals/families eligible for Medicaid are issued a Medicaid card and their eligibility information is transmitted to the Agency for Health Care Administration (AHCA) where it is used by AHCA to manage service delivery and provider payments.

2. Assumptions and Constraints

- Although the PPCA has been passed and signed into law, the States are still getting clarifications of questions related to policy requirements from the Centers for Medicare and

Medicaid, the cognizant federal agency.

- The State of Florida, along with a number of other states, has filed a lawsuit challenging the PPCA. The resolution of that lawsuit will have direct impact on the implementation of the PPCA requirements – in full, partially, or not at all. Until the legal challenges are resolved, the actual requirements of the law will not be known for certain.
- The analysis of programming requirements for work to begin during FY 2011-12 is based on preliminary review and analysis of the health care reform legislation and will need comprehensive revisions once all policy and implementation decisions have been made.
- The Northwood Shared Resource Center (NSRC) will likely need additional resources to support these changes as preliminary estimates are that an additional 1.5 million Floridians may become eligible for Medicaid as a result of this legislation. This added growth in caseload comes at a time when the NSRC is still consolidating other agencies and the final impact on that consolidation on the availability of resources is not known.
- The implementation of health care reform will be a multi-year effort – full implementation is required by January 2014, but the legislation also contains earlier programming deadlines of January 1, 2013.

C. Proposed Business Process Requirements

1. Proposed Business Process

The existing business process of application, eligibility determination, client notification, and transmission of eligibility data to AHCA will not change. What will change are the requirements and policies used to determine eligibility for Medicaid benefits.

This request is a placeholder until sufficient information regarding requirements and policies becomes available.

Known changes will expand eligibility to individuals not currently covered by Medicaid such as individuals under 65 with incomes up to 133% of the federal poverty level, and adults who are not disabled or pregnant. Additional eligibility determination methodologies will be required, and the FLORIDA system may be required to interface with Health Insurance Exchanges and other entities.

2. Business Solution Alternatives

This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known, alternatives cannot be determined.

3. Rationale for Selection

This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known, alternatives cannot be identified and evaluated.

4. Recommended Business Solution

This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known and alternatives are identified and evaluated, a recommended business solution cannot be proposed.

III. Schedule IV-B Cost Benefit Analysis

A. Benefits Realization Table

The following table presents the benefits that will be realized from the successful completion of the initiatives anticipated to be completed.

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Additional citizens will receive health care benefits	Inangible	Citizens eligible for expanded health care coverage	Medicaid coverage	Increase in number of citizens receiving Medicaid benefits	01/2014

B. Cost-Benefit Analysis Forms

The complete set of Cost-Benefit Analysis (CBA) forms is located in Appendix A.

C. Cost-Benefit Analysis Results

CBAForm 3 - Project Investment Summary		Agency <u>Children and Families</u>	Project <u>ACCESS Health Care Reform</u>
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COST BENEFIT ANALYSIS - CBAForm 3A						
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
Project Cost	\$5,097,600	\$1,274,400	\$0	\$0	\$0	\$6,372,000
Net Tangible Benefits	\$0	(\$3,000,000)	(\$3,000,000)	(\$3,000,000)	(\$3,000,000)	(\$12,000,000)
Return on Investment	(\$5,097,600)	(\$4,274,400)	(\$3,000,000)	(\$3,000,000)	(\$3,000,000)	(\$18,372,000)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS - CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$15,992,605)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield - CBAForm 3C					
Fiscal Year	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known, true costs and accurate benefits cannot be completely identified and evaluated.

The costs included in the CBA forms are high level estimates based on limited information and rough estimates of additional recurring costs based on current charges from the NSRC. As a placeholder issue, the costs have the potential to vary by more than 100%.

IV. Major Project Risk Assessment Component

A. Risk Assessment Summary

The overall risk level for this project is HIGH. The complete Project Risk Summary Charts are included in Appendix B.

Project	ACCESS Florida Health Care Reform	
Agency	Children and Families	
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:	
36203C0	Automated Community Connection to	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Kara O'Brien 410-3326 kara_obrien@dof.state.fl.us		
Executive Sponsor	Jennifer Lange	
Project Manager	Jon Croft	
Prepared By	Jon Croft	9/22/2010
Risk Assessment Summary		
Business Strategy	Level of Project Risk	
Project Risk Area Breakdown		
Risk Assessment Areas		Risk Exposure
Strategic Assessment		HIGH
Technology Exposure Assessment		MEDIUM
Organizational Change Management Assessment		HIGH
Communication Assessment		HIGH
Fiscal Assessment		HIGH
Project Organization Assessment		HIGH
Project Management Assessment		HIGH
Project Complexity Assessment		HIGH
Overall Project Risk		HIGH

This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known and the true scope of the project determined, risks cannot be adequately identified and evaluated.

In addition, the State of Florida is currently involved in a lawsuit against the federal government related to the implementation of health care reform. The outcome of that lawsuit, or the direction it takes after the upcoming mid-term election could affect the entire scope of this project.

V. Technology Planning Component

The Northwood Shared Resource Center (NSRC) will likely need additional resources in order to support this project. This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known, the infrastructure needed to support this project cannot be completely identified and evaluated. We will continue to work with the NSRC to determine infrastructure needs as the requirements for this project become more fully known.

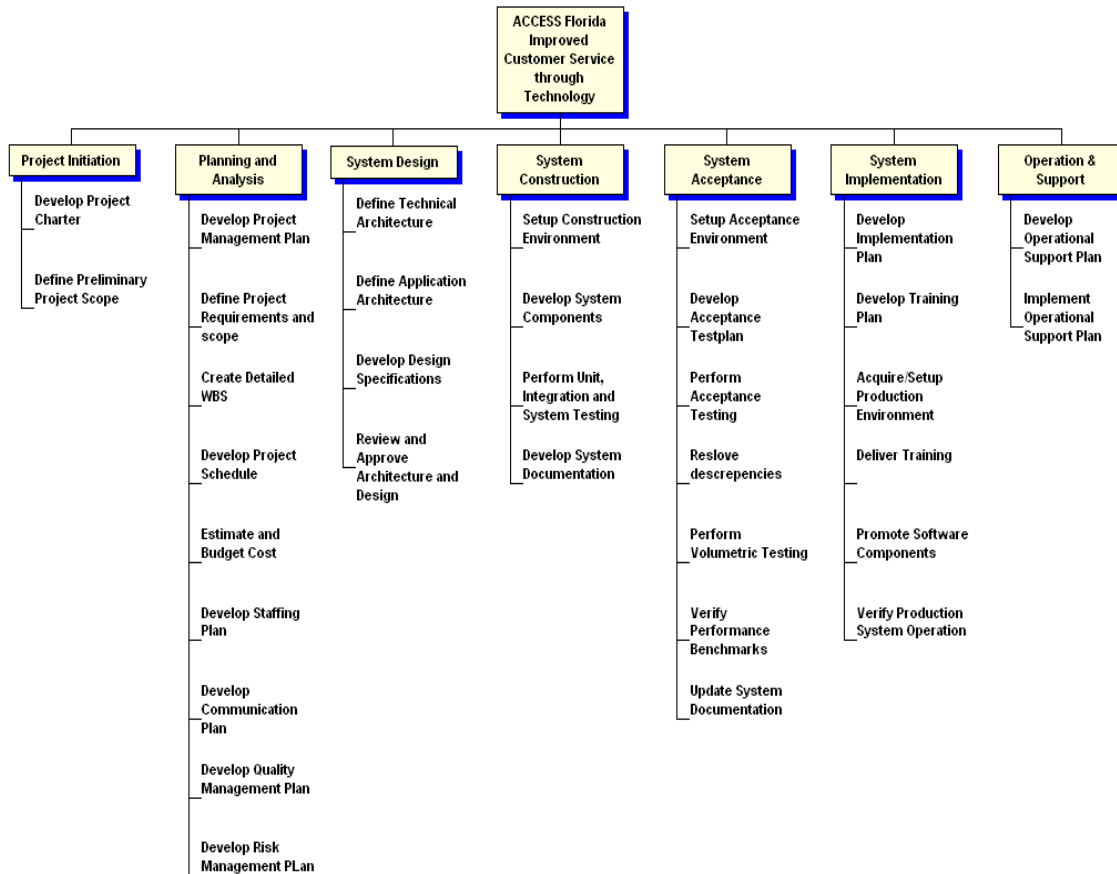
VI. Project Management Planning Component

A. Project Charter

Prior to beginning each initiative, an Information Systems Service Request (ISSR) is developed for each initiative. The ISSRs document the business needs and characteristics of the requested improvements and are approved by the ACCESS Program Office and Information Technology Services management teams. The approved ISSRs serve as the Project Charter.

B. Work Breakdown Structure

The WBS below provides a summary level illustration of the work required to complete each of the improvements in this request. Upon initiation of the work, during the project scope planning process a detailed Work Breakdown Structure will be developed. The resulting WBS will divide all of the major project deliverables and work into smaller, detailed components.



C. Resource Loaded Project Schedule

This request is a placeholder until sufficient information regarding requirements and policies becomes available. Until those requirements and policies are known, we are unable to establish an accurate project schedule or list of deliverables.

D. Project Budget

Project Costs for ACCESS Florida Health Care Reform												
Produced R 40,462.00			For Children and Families				By K. Austin		FY 2011-12			
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs-varies		\$1,274,400.00	\$0.00	\$1,274,400.00	\$0.00	\$1,274,400.00	\$0.00	\$1,274,400.00	\$0.00	\$5,097,500	\$0	\$5,097,500
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs		\$1,274,400	\$0	\$1,274,400	\$0	\$1,274,400	\$0	\$1,274,400	\$0	\$5,097,500	\$0	\$5,097,500
Progress Payments										\$0	\$0	\$0

Project Costs for ACCESS Florida Health Care Reform													
Produced R 40,462.00			For Children and Families				By K. Austin		FY 2011-12				
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)													
	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15			
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	
OPERATIONAL COSTS													
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0,000,000	\$3,000,000	\$0	\$0	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$3,000,000
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$3,000,000
FTE	0	0	0	0	0	0	0	0	0	0	0	0	0

This is a placeholder issue. This budget is based on preliminary estimates that are based on limited information, subject to change.

E. Project Organization

The Department anticipates no special organizational requirements for these initiatives. Technical staff will report to current supervisors and managers, and the Department will not have to make any adjustments to current structures to support these initiatives.

F. Project Quality Control

There are no special quality control requirements for these initiatives. Existing formal and informal quality control processes and procedures will be followed. Unit level testing and System Integration testing will be conducted by the Information Technology Services staff members and User Acceptance Testing will be performed by Staff from the ACCESS program office.

In addition, volumetric testing (stress testing) to measure and ensure acceptable system performance based on Department benchmarks will also be performed prior to the implementation.

G. External Project Oversight

All initiatives are subject to routine review and audit by internal and external state and federal auditors on an as-needed basis.

We will continue to follow standard project management practices and conduct internal reviews to ensure we address and mitigate any risks before they impact any of these initiatives.

H. Risk Management

The Department will use established project risk management processes. The processes will include ongoing risk identification, risk analysis and risk planning to avoid and/or mitigate identified risks.

The table on the following page identifies the risks most likely to impact the Department's ability to complete the project as planned.

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
Experienced contract staff scheduled to work on initiatives must be terminated due to lack of funding/ completion of one or more initiatives delayed or terminated prior to completion	Medium	Low	Secure funding to retain experienced staff	ACCESS Program
Application design constraints/functionality does not work as anticipated	Low	Low	Frequent design reviews by system architecture expert	Project manager
Funds not available when needed/completion of one or more initiatives delayed or terminated prior to completion	Medium	Low	Prioritize initiatives and only begin work on initiative if there is sufficient funding to ensure completion	Information Technology Services Administrative Services
Changes to federal or state policies that govern the business processes/programming requirements must be adjusted to conform to change in policies	Low	High	Keep abreast of Legislative initiatives that pertain to policies incorporated in this project to identify changes as early as possible	ACCESS Program
NSRC must have sufficient resources to support implementation of these changes/ changes cannot be implemented, initiatives are delayed beyond federally mandated deadlines, and department is out of compliance with federal requirements	High	Low	NSRC must be proactive in finding ways to obtain necessary infrastructure to support customer needs	NSRC Director

I. Organizational Change Management

Once health care reform changes are finalized, the department will determine the level of training needed by either customers or staff. Changes that affect customers will be communicated by email for individuals who have provided the department with a valid email address; it will be necessary to send written notification to other individuals. Community outreach activities may be necessary to educate the public about health care reform changes. Each change will be reflected in online help functionality. Changes to the FLORIDA system and the ACCESS Florida suite of applications will require face-to-face training, which will be handled through normal training processes. Other system changes will be shared with staff in writing and/or online training as appropriate.

J. Project Communication

Routine, established formal and informal project communication processes and procedures will be used to coordinate the planning, requirements analysis, design, construction, testing and implementation phases. All groups involved in will be working together and in constant communication during all phases of the work.

K. Special Authorization Requirements

As this project goes forward, unless the overall cost is determined to be significantly less once the requirements have been firmly established, the department will need to obtain additional federal approvals as the total amount of this project as it now stands will exceed prior approval thresholds.

VII. Appendices

Appendix A: Cost Benefit Analysis

Appendix B: IT Project Risk Assessment Tool

Appendix A: Cost Benefit Analysis

State of Florida TRW Cost Benefit Analysis													Fiscal Year 2011-2012 Cost Benefit Analysis Guidelines		
CBAForm 1 - Net Tangible Benefits													Agency <u>Children and Families</u> Project <u>ACCESS Health Care Reform</u>		
Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits - CBAForm 1A															
Agency (Operations Only -- No Project Costs)	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15			FY 2015-16		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)-(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel - Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider - Costs	\$0	\$0	\$0	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000	\$0	\$3,000,000	\$3,000,000
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			(\$3,000,000)			(\$3,000,000)			(\$3,000,000)			(\$3,000,000)	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE - CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous <input type="checkbox"/>	Confidence Level		
Order of Magnitude <input type="checkbox"/>	Confidence Level		
Placeholder <input checked="" type="checkbox"/>	Confidence Level	100%	

FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR ACCESS FLORIDA HEALTH CARE REFORM

State of Florida TRW Cost Benefit Analysis

Fiscal Year 2011-2012 Cost Benefit Analysis Guidelin

CBAForm 2 - Project Cost Analysis

Agency	<u>Children and Families</u>	Project	<u>ACCESS Health Care Reform</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$5,097,600	\$1,274,400	\$0	\$0	\$0	\$6,372,000
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$5,097,600	\$1,274,400	\$0	\$0	\$0	\$6,372,000
CUMULATIVE PROJECT COSTS	\$5,097,600	\$6,372,000	\$6,372,000	\$6,372,000	\$6,372,000	

INVESTMENT SUMMARY						TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
General Revenue	\$2,548,800	\$637,200	\$0	\$0	\$0	\$3,186,000
Trust Fund	\$2,548,800	\$637,200	\$0	\$0	\$0	\$3,186,000
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$5,097,600	\$1,274,400	\$0	\$0	\$0	\$6,372,000
CUMULATIVE INVESTMENT (*)	\$5,097,600	\$6,372,000	\$6,372,000	\$6,372,000	\$6,372,000	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input checked="" type="checkbox"/>	Confidence Level	100%

State of Florida TRW Cost Benefit Analysis

Fiscal Year 2011-2012 Cost Benefit Analysis Guidelines

CBAForm 3 - Project Investment Summary

Agency	<u>Children and Families</u>	Project	<u>ACCESS Health Care Reform</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
Project Cost	\$5,097,600	\$1,274,400	\$0	\$0	\$0	\$6,372,000
Net Tangible Benefits	\$0	(\$3,000,000)	(\$3,000,000)	(\$3,000,000)	(\$3,000,000)	(\$12,000,000)
Return on Investment	(\$5,097,600)	(\$4,274,400)	(\$3,000,000)	(\$3,000,000)	(\$3,000,000)	(\$18,372,000)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$15,992,605)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Appendix B: IT Project Risk Assessment Tool

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Project	ACCESS Florida Health Care Reform		
Agency	Children and Families		
FY 2011-12 LBR Issue Code:	36203C0	FY 2011-12 LBR Issue Title:	Automated Community Connection to
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):			
Kara O'Brien 410-3326 kara_obrien@dof.state.fl.us			
Executive Sponsor	Jennifer Lange		
Project Manager	Jon Croft		
Prepared By	Jon Croft	9/22/2010	
Risk Assessment Summary			
Business Strategy	Most Aligned		Level of Project Risk
	Least Aligned		
Least Risk		Most Risk	
Project Risk Area Breakdown			
Risk Assessment Areas			Risk Exposure
Strategic Assessment			HIGH
Technology Exposure Assessment			MEDIUM
Organizational Change Management Assessment			HIGH
Communication Assessment			HIGH
Fiscal Assessment			HIGH
Project Organization Assessment			HIGH
Project Management Assessment			HIGH
Project Complexity Assessment			HIGH
Overall Project Risk			HIGH

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 1 – Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	0% to 40% -- Few or none defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes unknown
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	All or nearly all
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	No technology alternatives researched
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Extensive infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are not understood or defined
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes Moderate changes to organization structure, staff or business processes Minimal changes to organization structure, staff or business processes structure	Extensive changes to organization structure, staff or business processes
3.02	Will this project impact essential business processes?	Yes No	Yes
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented 41% to 80% -- Some process changes defined and documented 81% to 100% -- All or nearly all processes defined and documented	0% to 40% -- Few or no process changes defined and documented
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes No	No
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change 1% to 10% FTE count change Less than 1% FTE count change	1% to 10% FTE count change
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change 1 to 10% contractor count change Less than 1% contractor count change	1 to 10% contractor count change
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information) Moderate changes Minor or no changes	Extensive change or new way of providing/receiving services or information)
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information Moderate changes Minor or no changes	Extensive change or new way of providing/receiving services or information
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years) Recently completed project with fewer change requirements Recently completed project with similar change requirements Recently completed project with greater change requirements	Recently completed project with similar change requirements

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Negligible or no feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Placeholder -- actual cost may exceed estimate by more than 100%
		Order of magnitude -- estimate could vary between 10-100%	
		Placeholder -- actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from other state agencies
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Project benefits have not been identified or validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Procurement strategy has not been identified and documented
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Time and Expense (T&E)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware and software purchases has not yet been determined
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	No contract manager assigned
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	No selection criteria or outcomes have been identified
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Procurement strategy has not been developed
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 6 – Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	No
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	None or few have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No experienced project manager assigned
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	None
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No board has been established
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	1-3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	0% to 40% -- None or few are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	None or few have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	None or few have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Children and Families

Project: ACCESS Florida Health Care Reform

Section 8 – Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	No external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2011 -12**
Budget Entity: 60910506 - Mental Health Program

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2009-10	ESTIMATED FY 2010-11	REQUEST FY 2011-12
Interest on Debt (A)	6,360,367.73	6,201,725.00	5,955,943.75
Principal (B)	5,295,000.00	5,430,000.00	5,670,000.00
Repayment of Loans (C)			
Fiscal Agent or Other Fees (D)	29,039.00	28,566.00	28,566.00
Other Debt Service (E)			
Total Debt Service (F)	11,684,406.73	11,660,291.00	11,654,509.75

Explanation: South Florida Evaluation Treatment Center (COP) - \$41,940,000.00 - Series 2005
South Florida State Hospital (COP) - \$37,985,000.00 - Series 1998
Florida Civil Commitment Center (COP) - \$68,730,000.00 - Series 2006

SECTION II

ISSUE: South Florida Evaluation Treatment Center - Series 2005

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2011	June 30, 2012
4.50%	10/1/2025	41,940,000.00	37,660,000.00	36,100,000.00
(6)	(7)	(8)	(9)	
	ACTUAL FY 2009-10	ESTIMATED FY 2010-11	REQUEST FY 2011-12	
Interest on Debt (G)	1,962,942.73	1,923,387.50	1,849,875.00	
Principal (H)	1,425,000.00	1,490,000.00	1,560,000.00	
Fiscal Agent or Other Fees (I)	7,973.00	7,500.00	7,500.00	
Other (J)				
Total Debt Service (K)	3,395,915.73	3,420,887.50	3,417,375.00	

ISSUE: South Florida State Hospital - Series 1998

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2011	June 30, 2012
4.50%	7/1/2018	37,985,000.00	34,090,000.00	32,015,000.00
	ACTUAL FY 2009-10	ESTIMATED FY 2010-11	REQUEST FY 2011-12	
Interest on Debt (G)	1,105,440.00	1,058,752.50	961,883.75	
Principal (H)	2,075,000.00	2,075,000.00	2,170,000.00	
Fiscal Agent or Other Fees (I)	7,500.00	7,500.00	7,500.00	
Other (J)				
Total Debt Service (K)	3,187,940.00	3,141,252.50	3,139,383.75	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families
Budget Entity: 60910506 - Mental Health Program

Budget Period 2011 -12

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2009-10	ESTIMATED FY 2010-11	REQUEST FY 2011-12
Interest on Debt (A)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (B)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Repayment of Loans (C)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (D)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service (E)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (F)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Explanation: _____

SECTION II

ISSUE: Florida Civil Commitment Center - series 2006

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2011	June 30, 2012
4.50%	10/1/2022	68,730,000.00	65,070,000.00	63,165,000.00
(6)	(7)	(8)	(9)	
	ACTUAL FY 2009-10	ESTIMATED FY 2010-11	REQUEST FY 2011-12	
Interest on Debt (G)	3,291,985.00	3,219,585.00	3,144,185.00	
Principal (H)	1,795,000.00	1,865,000.00	1,940,000.00	
Fiscal Agent or Other Fees (I)	13,566.00	13,566.00	13,566.00	
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Total Debt Service (K)	5,100,551.00	5,098,151.00	5,097,751.00	

ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2011	June 30, 2012
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	ACTUAL FY 2009-10	ESTIMATED FY 2010-11	REQUEST FY 2011-12	
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Fiscal Agent or Other Fees (I)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Total Debt Service (K)	<input type="text"/>	<input type="text"/>	<input type="text"/>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2011 - 2012

Department: Children and Families

Chief Internal Auditor: Jerry Chesnutt

Budget Entity: _____

Phone Number: (850) 488-8722

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Refugee Assistance Program Benefits to Ineligible Clients (A-0809DCF-311)	FY 2009-2010	Refugee Services/ACCESS	Our audit evaluated the adequacy and effectiveness of internal controls designed to ensure the maintenance of appropriate documentation supporting eligibility and timely termination of benefits. Compliance with procedures and regulations is essential to prevent fraud, waste and abuse. Awareness of control weaknesses is imperative in managing strategies for achieving objectives. We identified several areas where management should strengthen and enforce controls to mitigate risks of fraud and improve efficiency. The Florida On-Line Recipient Integrated Data Access (FLORIDA) system does not automatically close a case when multiple recipients have different entry dates until all recipients have reached their eligibility expiration dates. Therefore, manual closures are necessary to prevent recipients with earlier eligibility expiration dates from continuing to receive benefits; ad hoc reports and FLORIDA system alerts identifying cases approaching the end of their eligibility period have not always prevented untimely case closures and payments to ineligible individuals; relying on regional staff to manually terminate refugee benefits timely has not always been effective; and, documentation supporting eligibility was not always available in case records as required. Our major recommendation was changes or modifications to FLORIDA system to address control weaknesses.	The Automated Community Connection to Economic Self-Sufficiency (ACCESS) program responded that "limited computer reprogramming resources for the ACCESS programs as a whole have previously impaired the Department's ability to make this change impacting only the relatively small Refugee caseload. A new strategy whereby additional computer programming could be hired with 100 percent federal refugee assistance funds is now being pursued and evaluated. This requires coordination with Information Technology, Contracts, Budget, the Refugee Program Office and the federal funding agency".	
Evaluation of Child Death Review Process (A-0910DCF-018)	FY 2009-2010	Family Safety	This audit evaluated the control environment surrounding the child death review process. Our findings included multiple guidance exists in statute and policy for the Death Review environment; however, this guidance requires better integration and updating to avoid inconsistencies between regions; the Department of Children and Families (DCF) lacks a standardized system for collecting data on child deaths; the process for extracting data for death review is inefficient and contributes to creating a backlog for death review coordinators; DCF could make better use of the information captured in Death Review Coordinator (DRC) activities and final reports; and, multidisciplinary participation from communities may contribute to improved death review recommendations, training and public education. Our recommendations included clarification of guidance and training; consolidation of data collection systems; refined techniques for better data extraction; refinement of the maltreatment matrix and a comprehensive list of "red flags"; and creation of a team to explore the benefits of partnering regularly with other agency resources and community partners to create improved training for DCF staff and for creating informational advisories to communities.	The program concurred with our recommendations and is taking action to improve the process. Specifically, to address most issues, the long range plan is to integrate the new web-based child death review system with the Florida Safe Families Network (FSFN).	

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Client Trust Funds - Big Bend Community Based Care (A-0910DCF-025)	FY 2009-2010	Family Safety	This audit was conducted to assess internal controls associated with client trust funds and determine the extent certain Department procedures, state laws, and federal guidelines were followed in managing client trust funds. We found that failure to develop expenditure plans resulted in the return of client benefits payments to the Social Security Administration (SSA) and that client trust fund records lacked required documentation. We recommended that Big Bend Community Based Care (CBC) management require case management organizations to prepare, monitor and update expenditure plans as required and to include/retain original receipts with all client purchases.	Big Bend CBC management indicated that appropriate monies would be returned to the SSA and that policy and procedures to develop expenditure plans were updated. Also, Big Bend CBC respectfully requests the Department to examine the outdated standards for original documentation of purchases. Because original receipts are heat sensitive and can fade after a period of time, Big Bend CBC archives receipts electronically and places copies in the master trust file. We are hopeful that the Department's internal rules can be modified to allow for the changing technology of merchants and the challenge that presents to our record keepers.	
Bayview Center for Mental Health, Inc. - Project II (Substance Abuse and Mental Health Programs Financial and Data Management Systems) (A-0910DCF-035)	FY 2009-2010	Substance Abuse/Mental Health	This review found the following weaknesses in the Department's mental health and substance abuse financial and data management systems, which need to be addressed in order to successfully implement managing entities. The Department's contract payment methodology does not support the provision of flexible, client-centered substance abuse and mental health services; the Substance Abuse and Mental Health Information System (SAMHIS) does not fulfill statutory requirements as it lacks business modules for financial and contract management, and does not have established standards for the uniform collection of data by providers; SAMHIS is not designed as a billing system, nor is it structured to facilitate verification of provider requests for payment; SAMHIS lacks an automated interface with the Agency for Health Care Administration's (AHCA) Florida Medicaid Management Information System, as well as the Department's child welfare system (Florida Safe Families Network). Our assurance report offers possible courses of action, including recommending that the Department, under the joint direction of the Chief Information Officer and the Assistant Secretary for Substance Abuse and Mental Health, explore options and seek funding for the development of an integrated behavioral health services information system.	The program responded that they are in the process of exploring options and seek funding for the development of an integrated behavioral health services information system.	
Community Based Care - Client Trust Funds Hillsborough Kids, Inc. (A-0910DCF-044)	FY 2009-2010	Family Safety	This audit was conducted to assess internal controls associated with client trust funds and determine the extent certain Department procedures, state laws, and federal guidelines were followed in managing client trust funds. We found that failure to develop expenditure plans resulted in the return of client benefits payments to the Social Security Administration (SSA); client trust fund records lacked required documentation; and, improper use of client trust monies. We recommended that Hillsborough Kids, Inc. (HKI) require case management organizations to prepare, monitor and update expenditure plans as required, as well as consider development of an electronic option; to include/retain original receipts with all client purchases; provide interpreter services to clients at no cost as required by Department procedures and reimburse those funds disbursed from client trust fund accounts to pay for interpreter services.	HKI management concurred with our findings and is working to implement related recommendations.	
Community Based Care - Client Trust Funds Sarasota Young Men's Christian Association (A-0910DCF-121)	FY 2009-2010	Family Safety	This audit was conducted to assess internal controls associated with client trust funds and determine the extent certain Department procedures, state laws, and federal guidelines were followed in managing client trust funds. Findings included that client expenditure plans were not developed and adequate supporting documentation for purchases was not always available. We recommended that expenditure plans be created and adequate supporting documentation be retained for purchases.	Sarasota Young Men's Christian Association (YMCA) management generally concurred with our findings and is working to implement related recommendations	

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
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Office of Policy and Budget - July 2010

Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service):
 Children and Family Services / Executive Direction (Executive Leadership/Assistant Secretary for Administration/District Administration)

Agency Budget Officer/OPB Analyst Name:
 Nevin Smith / Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification

Action	60900101				
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1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y				
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
Action		60900101				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR	Y				
4.2	Is the program component code and title used correct?	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				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was					
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				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
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				

	Program or Service (Budget Entity Codes)				
Action	60900101				

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				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y				
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				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. (PLRR,	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				

		Program or Service (Budget Entity Codes)				
Action		60900101				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y				
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. <u>Thoroughly review pages 64 through 70 of the LBR Instructions.</u>					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					

	Program or Service (Budget Entity Codes)				
Action	60900101				

8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y			
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			
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			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y			
8.10	Are the statutory authority references correct?	Y			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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			

		Program or Service (Budget Entity Codes)				
Action		60900101				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y				

		Program or Service (Budget Entity Codes)				
Action		60900101				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y				
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

	Program or Service (Budget Entity Codes)				
Action	60900101				

16. MANUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
17.5	Are the appropriate counties identified in the narrative?	Y			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.				
18. FLORIDA FISCAL PORTAL					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service):
Children and Family Services/Information Technology (Information Technology)

Agency Budget Officer/OPB Analyst Name:
Nevin Smith/Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)				
Action	60900202				

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A				

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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		Program or Service (Budget Entity Codes)				
Action		60900202				
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	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				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				

		Program or Service (Budget Entity Codes)			
Action		60900202			
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y			
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			
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			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A			
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.	N/A			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	N/A			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A			

		Program or Service (Budget Entity Codes)			
Action		60900202			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A			
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				

		Program or Service (Budget Entity Codes)			
Action		60900202			
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y			
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			
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			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y			
8.10	Are the statutory authority references correct?	Y			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y			

		Program or Service (Budget Entity Codes)				
Action		60900202				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line D) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A				

		Program or Service (Budget Entity Codes)			
Action		60900202			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	Y			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.				
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	N/A			
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	N/A			
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)					
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				

	Program or Service (Budget Entity Codes)			
Action	60900202			

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	Y				
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.					

18. FLORIDA FISCAL PORTAL

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				
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Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Children and Family Services/Northwood Shared Resource Center (Information Technology)				
Agency Budget Officer/OPB Analyst Name: Nevin Smith/Richard Perritti				

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	60900212			
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1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for	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			

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y			
1.4 Has security been set correctly? (CSDR, CSA)	Y			
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y			
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y			
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y			
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y			

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A			
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A			

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y			
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y			

		Program or Service (Budget Entity Codes)				
Action		60900212				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	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				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?					
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						

		Program or Service (Budget Entity Codes)				
Action		60900212				
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
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?	N/A				
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				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADAC)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				

		Program or Service (Budget Entity Codes)				
Action		60900212				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					

		Program or Service (Budget Entity Codes)				
Action		60900212				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
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				
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				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				

		Program or Service (Budget Entity Codes)				
Action		60900212				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A				

		Program or Service (Budget Entity Codes)				
Action		60900212				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	N/A				
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	N/A				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

		Program or Service (Budget Entity Codes)				
Action		60900212				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	Y				
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service):
 Children and Family Services / Family Safety Preservation Services (Child Care Regulation/Adult Protection/Child Protection/Florida Abuse Hotline/Executive Leadership and Support Services)

Agency Budget Officer/OPB Analyst Name:
 Nevin Smith / Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification

Action	Program or Service (Budget Entity Codes)	60910310			
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1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y				
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
Action		60910310				
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 subtitle "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	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				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
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				

	Program or Service (Budget Entity Codes)				
Action	60910310				

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				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y				
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				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				

		Program or Service (Budget Entity Codes)				
Action		60910310				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L.))	N/A				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					

	Program or Service (Budget Entity Codes)				
Action	60910310				

8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y			
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	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			
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			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y			
8.10	Are the statutory authority references correct?	Y			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y			
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y			
8.25	Are current year September operating reversions appropriately shown in column A02?	Y			

	Program or Service (Budget Entity Codes)				
Action	60910310				

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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				

AUDITS:

8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					

9. SCHEDULE II (PSCR, SC2)

AUDIT:

9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N				
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10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y				
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		Program or Service (Budget Entity Codes)				
Action		60910310				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y				
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

	Program or Service (Budget Entity Codes)			
Action	60910310			

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	Y				
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.					

18. FLORIDA FISCAL PORTAL

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				
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Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service):
 Children and Family Services / Mental Health Services (Civil Commitment Program/Forensic Commitment Program/Sexual Predator Program/Adult Community Mental Health Program/Children Community Mental Health Program/Executive Leadership and Support Services Program)

Agency Budget Officer/OPB Analyst Name:
 Nevin Smith / Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification

	Program or Service (Budget Entity Codes)			
Action	60910506			

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, VI, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				

		Program or Service (Budget Entity Codes)			
Action		60910506			
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR	Y			
4.2	Is the program component code and title used correct?	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			
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			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y			
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.				
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08				
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			
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y			

	Program or Service (Budget Entity Codes)			
Action	60910506			

7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR	N/A				
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?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				

		Program or Service (Budget Entity Codes)			
Action		60910506			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A			
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				

	Program or Service (Budget Entity Codes)			
Action	60910506			

8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)				
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y		
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y		
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y		
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y		
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y		
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		
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		
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y		
8.10	Are the statutory authority references correct?	Y		
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y		
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y		
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y		
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y		
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y		
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y		
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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		

		Program or Service (Budget Entity Codes)			
Action		60910506			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y			
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y			
8.25	Are current year September operating reversions appropriately shown in column A02?	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			
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y			
AUDITS:					
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y			
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				
9. SCHEDULE II (PSCR, SC2)					
AUDIT:					
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N/A			
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A			

		Program or Service (Budget Entity Codes)			
Action		60910506			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A			
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y			
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y			
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)					
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y			
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

	Program or Service (Budget Entity Codes)			
Action	60910506			

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	Y				
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.					

18. FLORIDA FISCAL PORTAL

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				
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Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service):

Children and Family Services/Substance Abuse Services (Children Substance Abuse, Adult Substance Abuse, and Executive Leadership and Support Services)

Agency Budget Officer/OPB Analyst Name:

Nevin Smith/Richard Perritti

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)				
	60910604				

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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		Program or Service (Budget Entity Codes)				
Action		60910604				
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	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				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				

		Program or Service (Budget Entity Codes)			
Action		60910604			
<p>TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.</p>					
7. EXHIBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y			
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?	N/A			
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?	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y			
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			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	Y			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y			

		Program or Service (Budget Entity Codes)			
Action		60910604			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A			
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				

		Program or Service (Budget Entity Codes)			
Action		60910604			
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y			
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			
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			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y			
8.10	Are the statutory authority references correct?	Y			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y			

		Program or Service (Budget Entity Codes)				
Action		60910604				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y				

		Program or Service (Budget Entity Codes)				
Action		60910604				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y				
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

		Program or Service (Budget Entity Codes)			
Action		60910604			
16. MANUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
17.5	Are the appropriate counties identified in the narrative?	Y			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.				
18. FLORIDA FISCAL PORTAL					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service):
 Children and Families/Economic Self Sufficiency (Services to Most Vulnerable, Comprehensive Eligibility Services, Executive Leadership and Support Services)

Agency Budget Officer/OPB Analyst Name:
 Nevin Smith/Richard Perritti

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)				
	60910708				

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, VI, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for	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				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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		Program or Service (Budget Entity Codes)				
Action		60910708				
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	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				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				

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TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	N/A			
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			
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			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y			
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			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	Y			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y			

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7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y			
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				

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8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
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; <u>revenue estimating methodology narrative</u>)?	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				
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				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	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)?	Y				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				

		Program or Service (Budget Entity Codes)				
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8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y				

		Program or Service (Budget Entity Codes)			
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10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A			
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y			
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y			
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)					
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y			
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)			
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16. MANUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
17.5	Are the appropriate counties identified in the narrative?	Y			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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.				
18. FLORIDA FISCAL PORTAL					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			