



agency for persons with disabilities
State of Florida

LEGISLATIVE BUDGET REQUEST

Rick Scott
Governor
■ ■
Agency for Persons with Disabilities
Tallahassee

Barbara Palmer
Director
October 15, 2013

■ ■
State Office
■ ■
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Jerry L. McDaniel, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, Florida 32399-0001

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

Mike Hansen, Staff Director
Senate Appropriations Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Agency for Persons with Disabilities is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2014-15 Fiscal Year.

This submission has been approved by Barbara Palmer, Director.

Barbara Palmer
Director

Temporary Special Duty – General Pay Additives Implementation Plan for Fiscal Year 2014-2015

Section 110.2035(7)(b), Florida Statutes, provides that each state agency shall include in its annual legislative budget request a proposed written plan for implementing temporary special duties – general pay additives during the next fiscal year. The agency is not requesting any additional rate or appropriations for these additives.

In accordance with rule authority in 60L-32.0012, Florida Administrative Code, the agency had granted pay additives when warranted based on the duties and responsibilities of key positions. The requested additives are justified for reasons such as additional assigned duties and responsibilities when a key position become vacant.

Temporary pay increases are used in a variety of circumstances such as:

- An employee performing additional duties of a higher level position where the incumbent has been temporarily assigned other duties;
- An employee who meets the criteria for out of title work under a collective bargaining agreement. An employee performing additional duties of a coworker who is absent in accordance with s. 60L-32, F.A.C.;
- An employee performing additional duties of a significant nature and time regarding a special project or special assignment not normally assigned to the employee.

Effective Dates:

The additive will be in effect beginning the first day of the added duties or, when the temporary special duty is for an employee covered by an applicable collective bargaining unit contract and in accordance with s. 60L-32, F.A.C.. The additive will be in effect for the length of time the position is vacant or until such time as management decides that the additional duties can be removed from the employee receiving the additive, but in either case an additive can extend no longer than 90 days without an approved extension by the Department of Management Services.

Additive Amount:

Up to 10% of the employee's base salary (or the option to go to the minimum of the higher level pay grade, if determined appropriate).

Estimated Annual Cost:

The last fiscal year's annual cost for temporary special duty additives was \$7,683. This is consistent with the average cost for previous years therefore the agency estimates pay additives of approximately \$8,000 for next fiscal year.



agency for persons with disabilities
State of Florida

**Legislative Budget Request
Fiscal Year 2014-15**

**Department Level
67000000**

Exhibits and Schedules

**Barbara Palmer
Director**

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:	Agency for Health Care Administration Agency for Persons with Disabilities		
Contact Person:	APD: Richard Tritschler, General Counsel AHCA: Stuart Williams, General Counsel.	Phone Number:	APD: (850) 414-8052 AHCA: (850) 412-3669
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Petitioners: AHCA and APD Respondent: Centers for Medicaid & Medicare Services (CMS)		
Court with Jurisdiction:	None, but this will be an administrative appeal through the Department of Health and Human Services ("DHHS").		
Case Number:	None at this time. For identifying purposes, this will be an appeal of OIG Audit A-04-10-00076.		
Summary of the Complaint:	<ul style="list-style-type: none"> - On March, 2013, CMS issued a demand letter memorializing the findings of CMS Audit A-04-10-00076, that requests a refund of \$4,386,952 (\$2, 193,476 federal share). This amount represents payments in excess of the allowable amount identified in the Department of Health & Human Services, Office of Inspector General's report on Florida Claimed Some Medicaid Administrative Costs That Did Not Comply With Program Requirements for federal fiscal year 2007 through 2009, (Report number A-04-1 0-00076), issued March I, 2013. - The review found that the Medicaid Agency claimed Medicaid administrative costs that did not comply with federal requirements. The report identified costs that did not comply because certain employees in sampled positions did not complete the RMS observation forms as specified in the cost allocation plan, and the RMS coordinator's review did not detect noncompliance. As a result, the Agency for Persons With Disabilities's Medicaid reimbursable observation percentages used to calculate its Medicaid administrative costs were overstated. 		
Amount of the Claim:	\$4,386,952 (\$2, 193,476 federal share).		

Specific Statutes or Laws (including GAA) Challenged:	This is an overpayment determination, and so the validity of state law is not at issue.	
Status of the Case:	The Agency has responded to the Demand Letter and is currently awaiting a Disallowance Letter which would allow us to formally appeal the audit findings in an administrative forum.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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Agency:	Agency for Persons with Disabilities		
Contact Person:	Marc Ito (APD)	Phone Number:	(850) 922-2030
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	MORELAND, etal. v. APD		
Court with Jurisdiction:	Northern District of Florida		
Case Number:	4:12-cv-00585-MW-CAS		
Summary of the Complaint:	Plaintiffs seek to certify a class to challenge the adequacy of the notices APD used to inform class members of their transition to the iBudget Waiver.		
Amount of the Claim:	Injunctive Relief and Attorneys' Fees		

Specific Statutes or Laws (including GAA) Challenged:	No statutes or laws were challenged.	
Status of the Case:	The court has granted a preliminary injunction finding the named plaintiffs are likely to succeed on the merits that the notices APD used were inadequate. The injunction prohibits the reduction of any named plaintiff's budget until APD has provided adequate notice. Class Certification is fully briefed. Summary Judgment is fully briefed. On September 13, 2013 the parties agreed to a settlement after thirteen hours of mediation. The Judge dismissed as moot the pending motions for summary judgment. On September 27, 2013 the Judge preliminarily approved the settlement agreement, subject to a final fairness hearing. The parties have not yet agreed on a date for the final hearing, but it is likely to be in November.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Plaintiffs are represented by Southern Legal, a non-profit from Gainesville, Florida. The attorneys are Gabriella Ruiz, Nancy Wright Kirsten Clanton and Jodi Siegel.	

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Agency:	Agency For Persons With Disabilities		
Contact Person:	Juan Collins (APD)	Phone Number:	850-414-2232
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	L. J. v. APD		
Court with Jurisdiction:	United States District Court Northern District of Florida Tallahassee Division		
Case Number:	4:13-cv-00265-WS-CAS		

Summary of the Complaint:	(L. J.) Was an employee at the Development Disabilities Defendant Program (DDDP) and was involved in an incident with a Client in which she bit the client. L. J. was terminated and has a filed a lawsuit claiming worker's compensation retaliation and handicap discrimination.	
Amount of the Claim:	Action in excess of \$15,000.00	
Specific Statutes or Laws (including GAA) Challenged:		
Status of the Case:	On-going Discovery	
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).		

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Agency:	Agency For Persons With Disabilities		
Contact Person:	Juan Collins (APD)	Phone Number:	850-414-2232
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	K. R. v. APD		
Court with Jurisdiction:	Hillsborough County Circuit Court		
Case Number:	11-CA-010825/G		

Summary of the Complaint:	(K. R.) Client was a resident in Human Development Center where he was sexually assaulted during an approved policy of “quiet time” in which the clients were encouraged to participate in sexual activities.	
Amount of the Claim:	Action in excess of \$15,000.00	
Specific Statutes or Laws (including GAA) Challenged:		
Status of the Case:	On-going Discovery	
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).		

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Agency:	Agency for Persons with Disabilities (APD)		
Contact Person:	Bill Crowe (APD)	Phone Number:	(850) 414-8097
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	G. H. and N. N. v. Barbara Palmer in her official capacity as Director, Florida Agency for Persons with Disabilities		
Court with Jurisdiction:	U.S. District Court for the Northern District of Florida Tallahassee Division		
Case Number:	4:13-cv-00131		
Summary of the Complaint:	This is a civil rights case brought after APD issued a no trespass warning letter to a client ("GH") who injured an APD employee and caused property damage at the APD office. A no trespass warning was also issued to the client's mother ("NN"). The no trespass warnings were issued pursuant to § 810.08, F.S. GH and NN retained counsel and		

	challenged issuance of the no trespass warnings alleging the warnings were too broad and that APD failed to provide a due process hearing under the 14th Amendment of the U.S. Constitution. Based upon negotiations with GH and NN's counsel, APD limited the scope of the warnings by reissuing the no trespass letters. Thereafter, GH and NN requested that APD refer the matter to the Division of Administrative Hearings ("DOAH"), which it did. On its own accord, DOAH dismissed the case for lack of jurisdiction. The federal case ensued.		
Amount of the Claim:	\$ indeterminable at this time. The plaintiffs are seeking: a declaratory judgment that APD violated their constitutional due process rights; injunctive relief requiring APD to rescind all no trespass warnings it has issued; attorney's fees; other relief.		
Specific Statutes or Laws (including GAA) Challenged:	14 th Amendment of the U.S. Constitution		
Status of the Case:	The Agency's motion to dismiss was denied by the judge. Discovery is proceeding in the ordinary course.		
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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Agency:	Agency for Health Care Administration		
Contact Person:	L. S.	Phone Number:	850-412-3686
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	United States v. State of Florida		
Court with Jurisdiction:	Southern District of Florida		
Case Number:	13-61576-CIV-Dimitrouleas		

Summary of the Complaint:	Alleged violations of the Americans With Disabilities Act, as amended; persons under the age of 21 are unnecessarily in nursing facilities (NF) and at risk of being placed in NF; state has not funded necessary services.	
Amount of the Claim:	\$ > \$500,000 cost in implementing injunctive and equitable relief; possible compensatory damages; attorney's fees if Plaintiffs prevail	
Specific Statutes or Laws (including GAA) Challenged:	Americans With Disabilities Act, as amended	
Status of the Case:	Answer and affirmative defenses filed. Awaiting court order on the State's Motion to Transfer civil action from the Southern District of Florida to the Northern District of Florida.	
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
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).	Quasi class action brought by the U.S. Department of Justice.	

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Agency:	Department of Legal Affairs		
Contact Person:	Jason Vail	Phone Number:	414-3300
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Florida Association for Retarded Citizens, Inc., v. Bush		
Court with Jurisdiction:	U.S. District Court, Middle District of Florida		
Case Number:	Case Number 79-418-ORL-CIV-EK		
Summary of the Complaint:	Original allegations concerned conditions at Sunland Orlando		
Amount of the Claim:	injunctive relief		

Specific Statutes or Laws (including GAA) Challenged:	
Status of the Case:	Consent decrees entered, the last in 2003.
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).	Southern Legal Counsel, Inc. 1229 N.W. 12th Avenue Gainesville, FL 32601

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Agency:	Agency For Persons With Disabilities		
Contact Person:	Juan Collins (APD)	Phone Number:	850-414-2232
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	P. B. v. Barbara Palmer in her capacity as Director of APD, Charles Ball as Former Director of the Development Disabilities Defendant Program (DDDP) and M. D., Former Employee		
Court with Jurisdiction:	United States District Court for the Northern District of Florida Tallahassee Division		
Case Number:	4:13cv143-RH/CAS		
Summary of the Complaint:	(P. B.) Client was a resident in DDDP where she was sexually assaulted (raped) by an Agency employee M. D..		
Amount of the Claim:	Action in excess of \$15,000.00		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	On-going Discovery		

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Agency:	Agency for Persons with Disabilities		
Contact Person:	Jonathan Grabb (APD)	Phone Number:	(850) 414-8857
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	J.R. v. Hansen; J.R. v. Palmer (as captioned in the Florida Supreme Court)		
Court with Jurisdiction:	Florida Supreme Court; Questions certified to court from the Court of Appeals for the Eleventh Federal Circuit		
Case Number:	13-1547		
Summary of the Complaint:	Appellant J.R. appeals an order of summary judgment in favor of Michael Hansen, former Director of the Agency for Persons with Disabilities. The Appellant brings both a "facial" and "as applied" Constitutional challenge to section 393.11, Florida Statutes. The Appellant contends that section 393.11, Florida Statutes, fails to provide adequate due process to individuals who have been involuntarily admitted to Agency services. Following an order from the Eleventh Circuit, questions have been certified for review by the Florida Supreme Court.		
Amount of the Claim:	\$0.00		
Specific Statutes or Laws (including GAA) Challenged:	Section 393.11, Florida Statutes		
Status of the Case:	On August 20, 2013, the Eleventh Circuit Court of Appeals certified three questions for review by the Florida Supreme Court. The Florida Supreme Court has accepted review, and the Appellant's Initial Brief is due on October 1, 2013, with the state's answer due on October 21 st .		

Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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Agency:	Agency for Persons with Disabilities		
Contact Person:	Jonathan Grabb (APD)	Phone Number:	(850) 414-8857
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Wheaton, et. al., v. Palmer		
Court with Jurisdiction:	United States District Court, Northern District of Florida		
Case Number:	4:13-cv-00179-MW-CAS		
Summary of the Complaint:	Six individually named plaintiffs and the organization Disability Rights Florida, Inc., seek a class action, injunctive relief, and attorneys' fees following allegations that the Agency has improperly failed to act on their requests for additional services with reasonable promptness, has failed to provide adequate due process, and has improperly rejected services pursuant to the Agency's "Cost Plan Freeze."		
Amount of the Claim:	\$0.00 and unspecified attorneys' fees		
Specific Statutes or Laws (including GAA) Challenged:	APD's implementation of the Cost Plan Freeze; see Laws of Florida Chp. 2011-69, p. 59, Specific Appropriation 231.		
Status of the Case:	Currently in discovery. A draft settlement proposal has been submitted to opposing counsel. Pending motions include the Defendant's Motion to Dismiss, Plaintiff's Motion for Preliminary Injunction, and Plaintiff's Motion for Class Certification.		
Who is representing (of record) the state in this lawsuit? Check all that	X	Agency Counsel	
		Office of the Attorney General or Division of Risk Management	

apply.		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).	Disability Rights Florida, Inc. and The Law Office of Nancy E. Wright	

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Agency:	Agency For Persons With Disabilities		
Contact Person:	Juan Collins (APD)	Phone Number:	850-414-2232
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	C. B. v. APD		
Court with Jurisdiction:	United States District Court Northern District of Florida Tallahassee Division		
Case Number:	4:13-CV-00443-RH-CAS		
Summary of the Complaint:	(C. B.) Plaintiff worked Sunland and went out on a worker related injury. After Plaintiff reached maximum medical improvement she returned to work with restrictions that could not be accommodated. She was terminated and claimed disability discrimination and worker's compensation retaliation.		
Amount of the Claim:	Action in excess of \$15,000.00		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Federal Complaint received 9-18-13		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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Agency:	Agency for Persons with Disabilities		
Contact Person:	Bill Crowe (APD)	Phone Number:	(850) 414-8097
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	JDS v. APD		
Court with Jurisdiction:	Orange County Circuit Court		
Case Number:	06-CA-955		
Summary of the Complaint:	JDS was a developmentally disabled client in a licensed group home who was allegedly raped and impregnated.		
Amount of the Claim:	\$1,150,000.00		
Specific Statutes or Laws (including GAA) Challenged:	An adverse ruling would have expanded the "special relationship" exception to the general rule that a health services agency is not vicariously liable when the agency enters into an independent services contract with a licensed group home.		
Status of the Case:	This case has been settled and dismissed, with prejudice , for the payment of \$200,000 cash. In addition, the Agency agreed to include \$950,000 in its FY 2013-2014 Legislative Budget Request.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
	X	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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Agency:	Agency For Persons With Disabilities		
Contact Person:	Juan Collins (APD)	Phone Number:	850-414-2232
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	L. F. v. APD		
Court with Jurisdiction:	Alachua County Circuit Court		
Case Number:	2013-CA-3184		
Summary of the Complaint:	(L. F.) Employee was terminated from the Agency for failing to report abuse of a Client timely and for falsifying logbooks. Employee filed a complaint alleging Public Whistle-Blower Retaliation.		
Amount of the Claim:	Action in excess of \$15,000.00		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	On-going Discovery		
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).	
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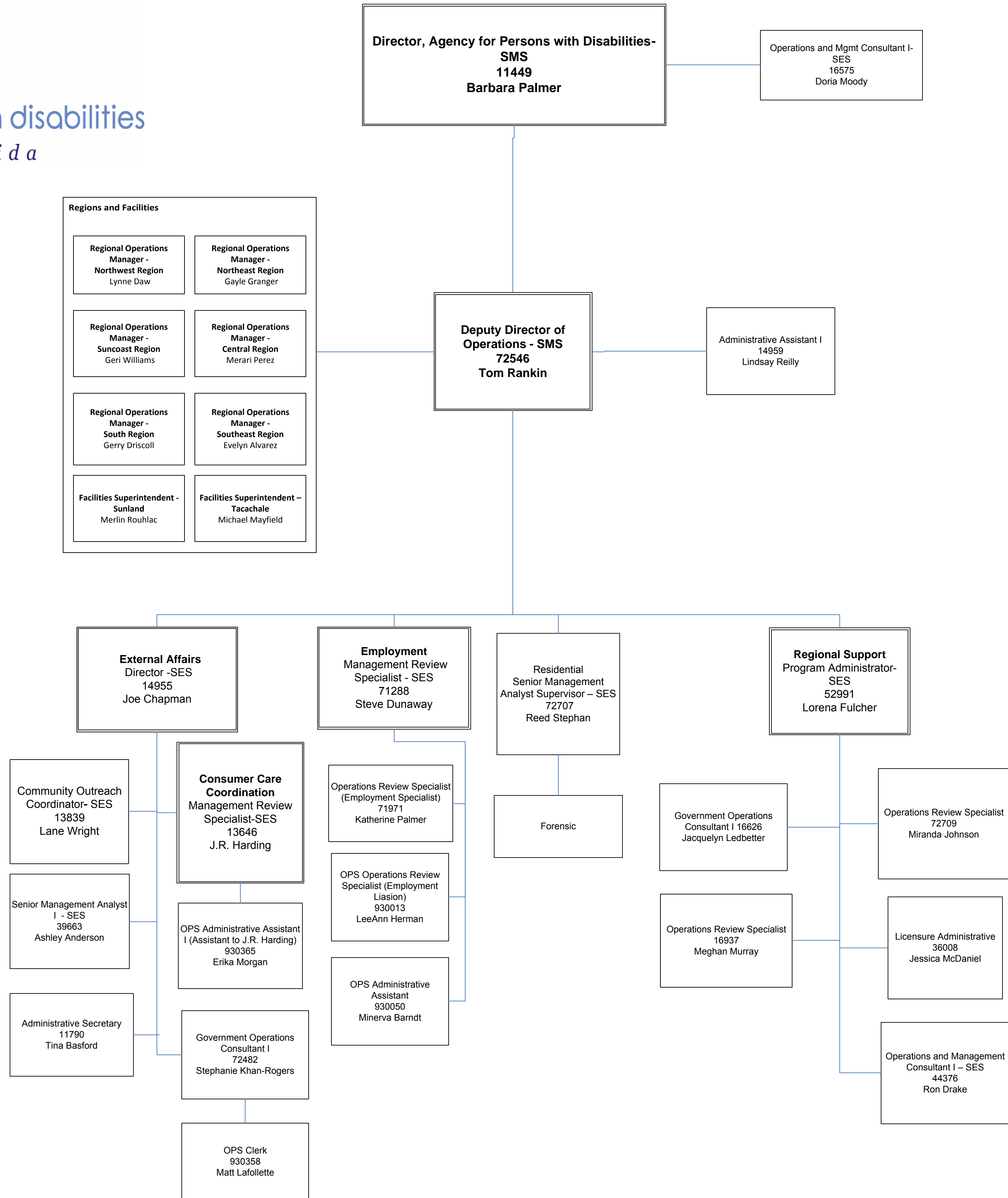
Agency:	Agency For Persons With Disabilities		
Contact Person:	Juan Collins (APD)	Phone Number:	850-414-2232
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Theodore Cook v. APD		
Court with Jurisdiction:	Leon County Circuit Court		
Case Number:	13-CA-2423		
Summary of the Complaint:	(Theodore Cook) Plaintiff worked for his son in the CDC+ Program and was terminated because he failed to complete his level 2 background screening. Plaintiff has made complaints to the Governor's Office, IG, FCHR and all were unfounded. Plaintiff is claiming Whistle-Blower Retaliation.		
Amount of the Claim:	Action in excess of \$15,000.00		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Complaint received 9-18-13		
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).	
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Office of Policy and Budget – July 2013

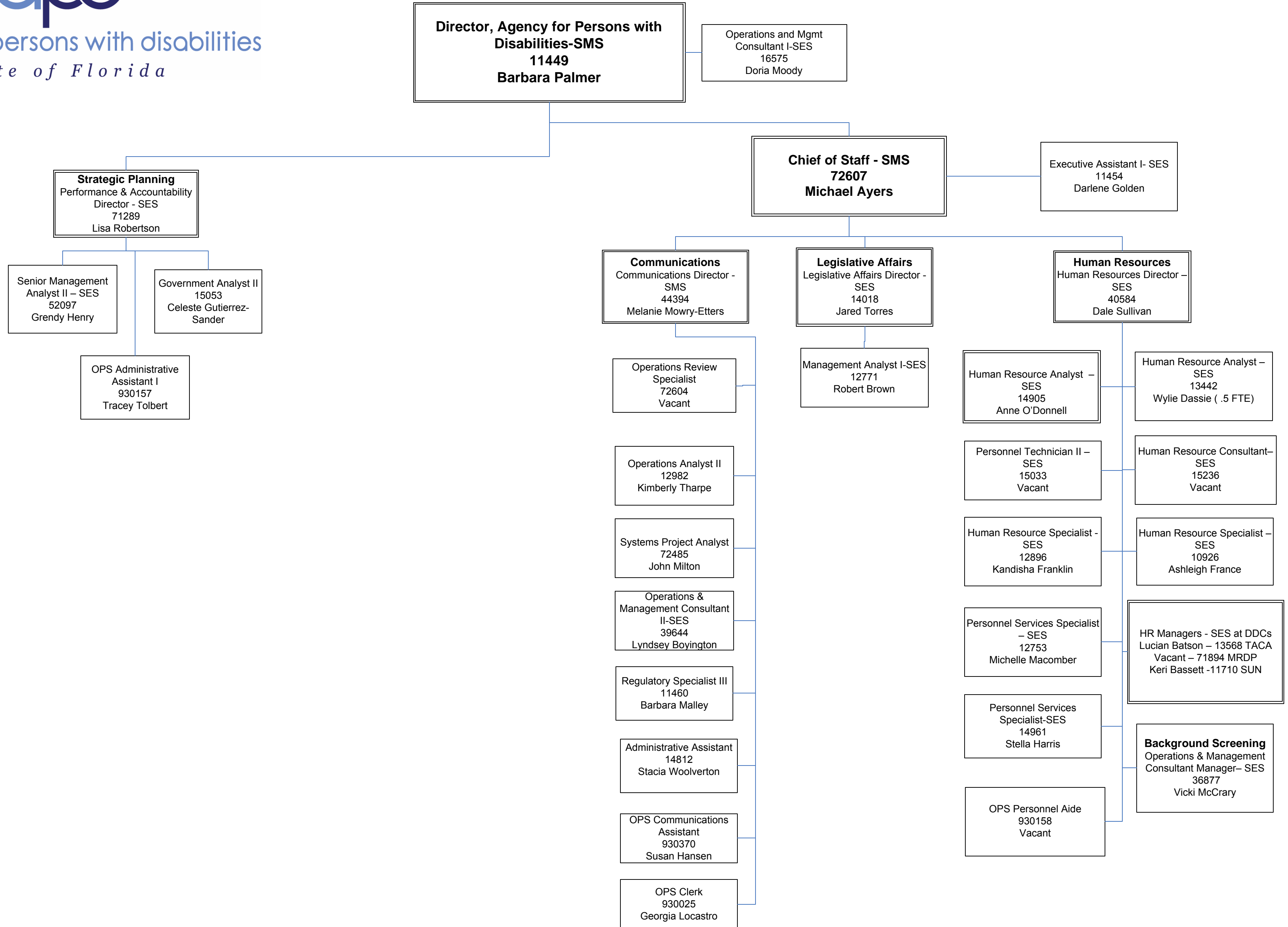


agency for persons with disabilities
State of Florida





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State of Florida



**Director, Agency for Persons
with Disabilities-SMS
11449
Barbara Palmer**

Operations and Mgmt
Consultant I-SES
16575
Doria Moody

Information Technology
Information Systems & Services
Administrator-SES
12776
Mark Ervin

Information Security
Data Processing Manager-
SES
52990
John Collins

Data Processing Manager -
SES
14982
Stephen Boley

Information Technology
Section Leader -SES
39668
Ken Peacock

OPS Data Processing Control
Specialist
930002
Kevin Hyre

Systems Project Analyst
11452
Deanna Mclean

Information Technology
Analyst
72483
Megan Casey

Information Technology
Business Consultant -SES
13726
Terry Sumner

Distributed Computer
Systems Analyst
72268
John Harris

OPS Distributed Computer
Systems Analyst
930017
Vacant

Computer Programmer
Analyst I
52257
Maria Litvin

Data Processing
Administrator – SES
14808
Kevin Kirgan

Distributed Computer
Systems Analyst
32460
John Bishop

Distributed Computer
Systems Specialist
52820
Henry Hrbek

OPS IT Specialist
962950
Steven Starling

OPS IT Program Specialist
962131
Vacant

Systems Programmer III
32656
Eric Gray

Distributed Computer
Systems Analyst
11461
Tim Mckenzie

Distributed Computer
Systems Analyst
16198
Vacant

Distributed Computer
System Analyst
39681
Arellys Valdes

Distributed Computer
Systems Analyst
11891
Michael Fuentes

Distributed Computer
Systems Analyst-SES
Sunland
11728
Randall Wynn

Distributed Computer
Systems Specialist
39358
Earl Matthews

Operations Analyst II
56706
Randall Johnson

Office Automation
Specialist I
72370
Peter Vaughn

Office Automation
Specialist I
56559
Kira Sharp

**ABC Customer
Support**
Senior Management
Analyst Supervisor- SES
72471
Millicent Donald

OPS Distributed Computer
Systems Analyst
930016
April Hammons

OPS Distributed Computer
Systems Analyst
930015
Jacob Bonnell

OPS Distributed Computer
Systems Analyst
930359
Lance Lee

Operations & Management
Consultant Manager – SES
72475
Iristine Powell Brown

Government Operations
Consultant II
72480
George Kennell

Government Operations
Consultant II
72479
Lloyd Harley

Government Operations
Consultant II
72478
Joanne Braun

Government Operations
Consultant II
39744
Joy Joseph

OPS Government
Operations Consultant II
930005
Brittany Farrior

Data Processing Manager –
SES
11450
Sriram Kommu

Application Systems
Programmer III
11462
Chaozhong Xiao

Computer Program
Analyst II
44901
Chappella Riggins

Computer Programmer
Analyst II
11479
Lijuan Jia

Web Manager
16830
Paul Lawrence

Systems Programmer III
48565
Karl Davis

OPS Distributed
Computer Systems
Analyst
960807
Etta Cranford

Systems Programmer III
-SES
12735
Michael Sadders

Application Systems
Programmer III-SES
11481
Vacant

**Director, Agency for Persons with Disabilities-
SMS
11449
Barbara Palmer**

Operations and Mgmt Consultant I-SES
16575
Doria Moody

**General Counsel-SMS
72582
Richard Tritschler**

Executive Assistant I – SES
14919
Joann Parsons

**Inspector General - SMS
11661
Marvin Doyal**

**Deputy General Counsel - SES
16588
Cathy Bedell**

**OPS Senior Attorney
910002
Mandy Miller**

OPS Attorney
930034
Vacant

OPS Administrative
Assistant I
930041
Christopher Salak

OPS Legal Assistant
930022
Aubree Perezluha

Senior Attorney – SES
Jacksonville
16800
Jonathan Grabb

Senior Attorney - SES
14794
Marc Ito

OPS Administrative Secretary
930023
Vacant

OPS Administrative
Assistant I
930042
Michael Holbert

OPS Administrative
Assistant I
930326
Jan Rodemerik

Senior Attorney – SES
53362
Brian Mcgrail

Senior Attorney-SES
14895
Juan Collins

OPS Attorney
930038
Vacant

OPS Paralegal Specialist
930039
Deitra Henderson

Senior Attorney- SES
14760
Bill Crowe

OPS Administrative Assistant I
930040
Vacant

Senior Legal Assistant
11467
Anginita Rosier

Senior Attorney - SES
16806
Jamie Morrow

Senior Attorney- SES
16803
Tomea Sippio-Smith

Senior Attorney- SES
15966
Michael Sauve

Senior Attorney - SES
16802
Gerald Siebens

Senior Attorney – SES
Jacksonville
16801
Melissa Dinwoodie

Senior Attorney – SES
Jacksonville
16804
Ivonne Deferia-Molini

Senior Attorney - SES
16805
Llamilys Bello

Attorney - SES
02856
Vacant

Government Operations
Consultant II
16498
Amanda Soule

Administrative Assistant I
15063
Susie Siets

OPS Administrative Secretary
930028
Daniella Jones

Senior Attorney - SES
Miami
16699
Hilda Fluriach

Administrative Assistant I
15096
Melissa Lopez

Attorney Supervisor - SES
Tacachale
13000
Julie Waldman

Operations & Management
Consultant I – SES
Tacachale
40329
Heather Huzzen

Administrative Assistant II -
SES
MRDP
72541
Janice Brown

Senior Attorney - SES
MRDP
69982
Waylon Lewis

OPS Attorney
965347
Vacant*

OPS Law Clerk
962973
Kelly Renee Anthony Wortner

**Director of Auditing - SES
12873
Carol Sullivan**

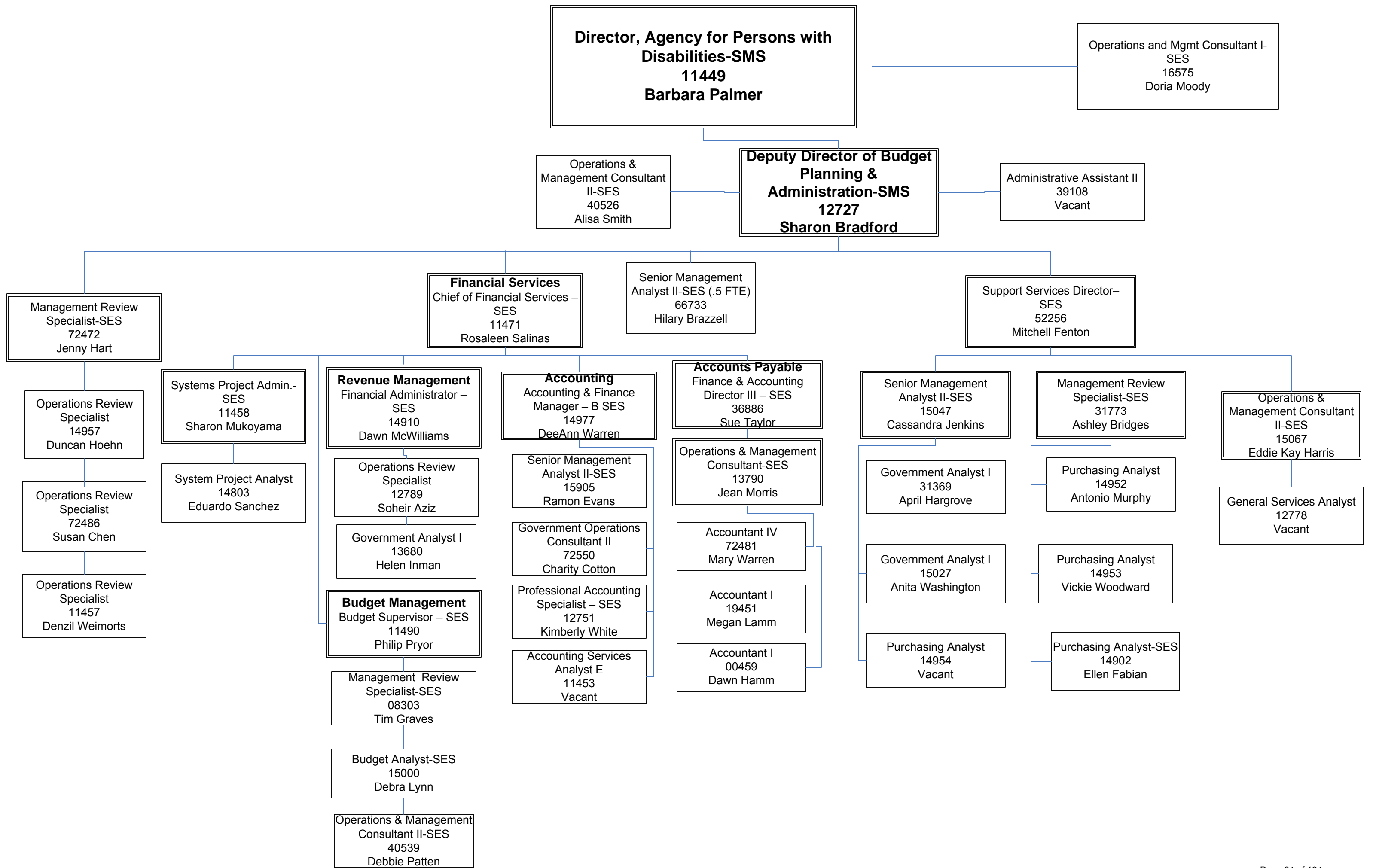
Office Operations Consultant I
16044
Vacant

Senior Management Analyst II-SES
15094
Annette Green

Inspector Specialist - SES
39676
Wes Greenwald

**Program Integrity
Operations and Management
Consultant II-SES
13083
Robert Brown-Barrios**

**Program Integrity
Management Review Specialist
– SES
14973
Mac McCoy**



Schedule XIV
Variance from Long Range Financial Outlook

Agency: Agency for Persons with Disabilities

Contact: Sharon Bradford

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 2013 contain revenue or expenditure estimates related to your agency?

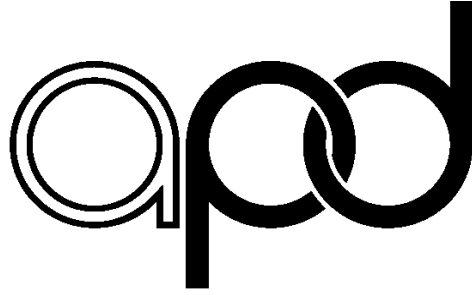
Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2013-2014 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 2014-2015 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	36302C0 - CLIENT DATA MANAGEMENT SYSTEM	B	1,500,000	1,800,000
b				
c				
d				
e				
f				

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

* R/B = Revenue or Budget Driver



agency for persons with disabilities
State of Florida

**Legislative Budget Request
Fiscal Year 2014-15**

**Home and Community Services
67100100**

Budget Entity 67100100

Home and Community Services

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	67100100
	2021

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	66,254	(A)		66,254
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD:	0	(E)		0
Total Cash plus Accounts Receivable	66,254	(F)	0	66,254
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS:		(J)		0
Unreserved Fund Balance, 07/01/13	66,254	(K)	0	66,254 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: Agency for Persons with Disabilities
Trust Fund Title: Administrative Trust Fund
Budget Entity: 67100100
LAS/PBS Fund Number: 2021

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "E" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

Transfer to Budget Entity 67100300 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	67100100
	2261

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(3,784)	(A)		(3,784)
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: Transfer from BE 67100300	3,784	(E)		3,784
Total Cash plus Accounts Receivable	0	(F)	0	0
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	0	(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS:	0	(J)		0
Unreserved Fund Balance, 07/01/13	0	(K)	0	0 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title:	Agency for Persons with Disabilities
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	67100100
LAS/PBS Fund Number:	2261

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	<input type="text" value="(3,784)"/> (A)
GLC 539XX for proprietary and fiduciary funds	

Subtract Nonspendable Fund Balance (GLC 56XXX)	<input type="text"/> (B)
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Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description	<input type="text"/> (C)
-----------------------------------	--------------------------

SWFS Adjustment # and Description	<input type="text"/> (C)
-----------------------------------	--------------------------

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text"/> (D)
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Approved "E" Carry Forward Total (FCO) per LAS/PBS	<input type="text"/> (D)
--	--------------------------

A/P not C/F-Operating Categories	<input type="text"/> (D)
----------------------------------	--------------------------

Transfer from Budget Entity 67100300	<input type="text" value="3,784"/> (D)
--------------------------------------	--

	<input type="text"/> (D)
--	--------------------------

	<input type="text"/> (D)
--	--------------------------

ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="0"/> (E)
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	<input type="text" value="0"/> (F)
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DIFFERENCE:	<input type="text" value="0"/> (G)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Operations and Maintenance Trust Fund
LAS/PBS Fund Number:	67100100
	2516

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(5,027,794)	(A)			(5,027,794)
ADD: Other Cash (See Instructions)		(B)			0
ADD: Rounding		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: Transfer from BE 67100200	8,000,000	(E)			8,000,000
Total Cash plus Accounts Receivable	2,972,206	(F)	0		2,972,206
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	299,165	(H)			299,165
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Compensated Leave Balance		(J)			0
Unreserved Fund Balance, 07/01/13	2,673,041	(K)	0		2,673,041 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period:	2014 - 2015
Department Title:	Agency for Persons with Disabilities
Trust Fund Title:	Operations and Maintenance Trust Fund
Budget Entity:	67100100
LAS/PBS Fund Number:	2516

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	(74,456,270) (A)
GLC 539XX for proprietary and fiduciary funds	

Subtract Nonspendable Fund Balance (GLC 56XXX)	0 (B)
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Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description	(C)
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SWFS Adjustment # and Description	(C)
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Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	0 (D)
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Approved "E" Carry Forward Total (FCO) per LAS/PBS	(D)
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A/P not C/F-Operating Categories	(D)
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GL 38600 Compensated Absences Liability	138,209 (D)
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Overstatement G/L 17700 - Overhead Applied	(330) (D)
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Overstatement of C/F Payables	1,670 (D)
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Adjustment for Prior Year Receivables	(10,239) (D)
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Transfer from Budget Entity 67100200	12,000,000 (D)
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Transfer from Budget Entity 67100300	65,000,000 (D)
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ADJUSTED BEGINNING TRIAL BALANCE:	2,673,041 (E)
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	2,673,041 (F)
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DIFFERENCE:	(0) (G)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Social Services Block Grant Trust Fund
LAS/PBS Fund Number:	67100100
	2639

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	7,168,113	(A)		7,168,113
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)	2,722	2,722
ADD: Transfer from BE 67100200	0	(E)		0
Total Cash plus Accounts Receivable	7,168,113	(F)	2,722	7,170,835
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	2,647,652	(H)		2,647,652
Approved "B" Certified Forwards	28,304	(H)		28,304
Approved "FCO" Certified Forwards		(H)		0
LESS:		(I)		0
LESS:		(J)		0
Unreserved Fund Balance, 07/01/13	4,492,157	(K)	2,722	4,494,879 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title:	Agency for Persons with Disabilities
Trust Fund Title:	Social Services Block Grant Trust Fund
Budget Entity:	67100100
LAS/PBS Fund Number:	2639

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total all GLC's 5XXXX for governmental funds;	<input type="text" value="4,520,461"/>	(A)
GLC 539XX for proprietary and fiduciary funds		

Subtract Nonspendable Fund Balance (GLC 56XXX)	<input type="text"/>	(B)
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Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # B6700006 G/L 16300 Due from Other Department	<input type="text" value="2,722"/>	(C)
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SWFS Adjustment # and Description	<input type="text"/>	(C)
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Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text" value="(28,304)"/>	(D)
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Approved "E" Carry Forward Total (FCO) per LAS/PBS	<input type="text"/>	(D)
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A/P not C/F-Operating Categories	<input type="text"/>	(D)
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<input type="text"/>	(D)
----------------------	-----

<input type="text"/>	(D)
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ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="4,494,879"/>	(E)
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	<input type="text" value="4,494,879"/>	(F)
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DIFFERENCE:	<input type="text" value="(0)"/>	(G)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Agency for Persons with Disabilities

Chief Internal Auditor: Carol Sullivan

Budget Entity: 67100100 and 67100200

Phone Number: 850-414-7166

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Auditor General Rpt # 2013-161		SWFFA	<p>Finding: As similarly noted in the previous audit, the FAPD did not always ensure that annual certifications of need were completed for Medicaid recipients residing in intermediate care facilities for the developmentally disabled (ICF-DDs). Additionally, the FAPD did not always ensure continued stay reviews were timely conducted or appropriately documented.</p> <p>Recommendation: We recommend the FAPD ensure that certification of need of care and continued stay reviews are timely completed and documented for all Medicaid recipients residing in ICF-DDs. We also recommend that the FAPD maintain documentation in such a manner that staff turnover does not affect the FAPD's ability to evidence the conduct of continued stay reviews.</p>	<p>Annual recertification forms will be reviewed at the time of the Habilitation Plan review – Completed FAPD will provide additional in-service training for all those involved with this process. – Completed FAPD continues to work with AHCA revising the ICF Handbook – Ongoing FAPD State Office will provide follow up and technical assistance to monitor compliance. – Ongoing. Statewide nurses meeting in August 2013. Meeting to include ICF Utilization Review on Agenda. Statewide Training call for staff with follow up addressed with Region/Area nurses individually. – Completed 9/2012 and Ongoing. FAPD State Office to monitor compliance. – Ongoing Review of Interagency Agreement - Ongoing</p>	

Eligibility

Finding 1: The efficiency of the State's public assistance eligibility determination processes could be improved. We found that for several programs, identifying information, such as social security numbers, was not always required, no documentation was required in support of significant applicant-reported information, and some processes were duplicated by administering State agencies.

Recommendation 1: We recommend that the State consider requiring all applicants to submit common background information, including but not limited to, social security numbers and documentation in support of certain representations made in public assistance applications, such as for example, the applicant's identity. We also recommend that the legislature require the DCF, with the cooperation of other agencies of State government, to conduct a study of the feasibility and cost effectiveness of the centralization and consolidation of the public assistance application and eligibility determination processes.

Finding 2: Our review of enrollment in 42 of the selected public assistance programs during the month of December 2011 disclosed 43 percent of recipients were enrolled in at least two programs. For a selection of these recipients, we compared the information shown in the records of each of the administering agencies and found numerous instances in which the information shown in the records of one agency, concerning such matters as employment status, household income, family size, and participation in other agencies. Such differences, in some instances, may indicate the existence of fraud or record errors resulting in improper payments.

Recommendation 2: We recommend that State agencies examine the feasibility of sharing data and performing additional matches in order to identify and resolve inconsistencies in recipient information.

The Agency has entered into data sharing agreements with both the Department of Health and the Department of Children and Families for the purposes of determining eligibility for federal programs and for serving mutually served children in foster care.

The Agency has entered into data sharing agreements with both the Department of Health and the Department of Children and Families for the purposes of determining eligibility for federal programs and for serving mutually served children in foster care.

APD Rpt # 120803-01	2011-2012 FY	Area 1 Family Care Council	<p>Finding 1: Without the preparation of minutes for each meeting, there is no record of decisions made by the FCC council members. The FCC's approval of the purchase of this equipment should be documented in the FCC's minutes.</p> <p>Recommendation 1: We recommend the Area 1 FCC prepare minutes for all council meetings in accordance with Section 286.11, Florida Statute and the Family Care Council Orientation Manual.</p> <p>Finding 2: Six of the Area 1 FCC expenditures reviewed were for travel reimbursements. Our review of these travel expenditures indicated the following:</p> <ul style="list-style-type: none"> • FCC members were reimbursed for vicinity mileage when odometer readings were not recorded on Vicinity/Map Mileage Logs included in the travel reimbursement expenditure voucher packages for 3 instances. • Travel reimbursement expenditure voucher packages did not contain the required Critical Travel Letter for 2 instances. <p>Recommendation 2: We recommend APD conduct a more thorough preaudit process of the Area 1 FCC expenditures prior to payment.</p>	<p>The Regional Manager indicated that the FCC members now understand that each meeting must accurately reflect action taken at the meetings including but not limited to determinations of how funds will be used.</p> <p>Regional Operations Manager will review with both the traveler and with APD staff responsible for handling travel reimbursement that travel reimbursement for vicinity miles will not be processed for payment without odometer readings. In addition, the travel must be authorized prior to the trip occurring and the Critical Travel Letter must be included when travel is submitted for reimbursement.</p>	
APD Rpt # 121016-01	2011-2012 FY	Area 3 Family Care Council	<p>Finding 1: For 11 of our sample items we noted an APD employee's purchasing card was used to purchase hotel rooms for FCC council members and guests for a conference. The <i>Reference Guide For State Expenditures</i>, states that "A cardholder shall not use his/her purchasing card to pay for any travel expenses incurred by anyone other than the cardholder or allow another individual to use his/her purchasing card for such expenses".</p> <p>Also, for one sample noted above, a guest did not attend the conference and did not timely cancel his hotel room reservation. APD was charged a fee of \$109 for this reservation.</p> <p>Recommendation 1: We recommend Area 3 FCC and APD employees follow state expenditure guidelines in the conduct of Family Care Council business. We further recommend that APD include in its purchasing card procedures that APD employees will be held responsible for all invalid charges made to their purchasing cards.</p>	<p>The Area 3 Administrator indicated that for future sponsorships, they will determine an alternative payment method that complies with the Reference Guide for State Expenditures.</p> <p>With respect to a guest not attending the conference without canceling his hotel room reservation, we were not made aware that one of the sponsored APD consumers, would not attend the Family CAFE until after the scheduled hotel arrival date. Although we attempted to seek a refund from the hotel, the hotel stated it could not refund the room charge due to hotel policy. With whatever future sponsorships, we will include a mechanism to confirm attendance of sponsorees prior to the deadline for refund of any room reservation deposit.</p>	

			<p>Finding 2: Of the 27 Area 3 FCC expenditures, 12 were for travel reimbursements. Our review noted one sample where the Authorization to Incur Travel Expense form was not prepared. This form is used to document the authorization of travel and to determine the budget availability for travel expenditures.</p> <p>Recommendation 2: We recommend Area 3 FCC and APD staff follow APD Operating Procedure No. OP-15-010, Travel Policies and Procedures to ensure the proper authorization of travel expenditures.</p>	<p>At the beginning of each fiscal year, the FCC approved the expenditure of funds for the Chairperson to attend the statewide FCCF. The Area 3 FCC met monthly and a review of expenditures was a standing agenda item. Area 3 staff is aware of the travel procedure of completing the Authorization to Incur Travel form for travelers, and this was an oversight by staff in an attempt to submit the travel reimbursement request timely. We have reiterated to staff the importance of strict compliance with APD travel procedures and directives.</p>
APD Rpt # 130110-01	2011-2012 FY	Area 8 Family Care Council	<p>Finding 1: Our test of expenditures determined that 35% or \$3,169.63 was not supported by FCC minutes. The FCC indicated that all of these expenditures were voted on through e-mails, however, none were made available for review. Additionally, if expenditure approval is not documented within FCC minutes there is limited assurance that the annual FCC budget will be adequately monitored.</p> <p>Recommendation 1: To ensure compliance with Section 286.011, Florida Statutes and the Family Care Council Orientation Manual, we recommend that Area 8 FCC cease using e-mails to conduct FCC business and prepare, approve and submit minutes for all council meetings to APD as required. We also recommend that the Area 8 FCC and APD staff develop a process to adequately monitor the Area 8 FCC budget.</p>	<p>Family Care Council - SunCoast 8 is committed to coming into compliance with Section 286.011 and Family Care Council Orientation Manual. Effective immediately FCC will discontinue using emails to conduct FCC business. All FCC business matters will be included in recorded minutes submitted through the council to the APD Liaison as required by APD.</p>

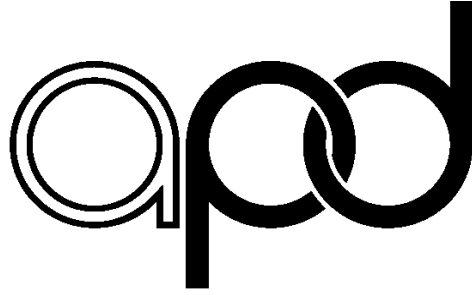
Finding 2: Of the 46 Area 8 FCC items reviewed twenty-four were for travel reimbursements. Based upon our review of these travel expenditures the following was noted:

- One travel reimbursement voucher did not contain the Authorization to Incur Travel Expense form. This form is used to document approval prior to the time of travel and to determine the budget availability for travel expenditures.
- One travel reimbursement voucher included reimbursement for meals that were included in the registration fee for a conference. According to travel policies and procedures meal reimbursements must be adjusted for provided meals, regardless of whether the traveler chooses to eat the provided meals. This resulted in a \$15.00 overpayment to the traveler.

Recommendation 2: We recommend that APD conduct a more thorough preaudit process of the Area 8 FCC travel expenditures prior to payment. We also recommend that APD provide additional training to the Area 8 FCC and the Suncoast Region APD staff on the policies and procedures of completing and requesting travel authorizations and reimbursements.

All FCC expenditures will be discussed, approved, and documented in minutes. APD Field Office Point Person and Division Director will closely monitor budget and recorded minutes will be forwarded to the regional operations manager.

APD Rpt # 130628-01	2011-2012 FY	Area 11 Family Care Council	<p>Finding: As part of our audit, we requested Area 11 FCC minutes from the APD Area 11 FCC Liaison in the Southern Region. The Area 11 FCC Liaison was not given copies of minutes and was unable to provide them. Minutes were requested but were not available from the Area 11 FCC, therefore none of the 37 (\$4,507.83) tested expenditures were supported with approved minutes.</p> <p>Without the preparation of minutes for each meeting, there is no record of decisions made by the FCC council members, no documentation of approval by the Council authorizing APD to process FCC expenditures, and the Area 11 FCC budget cannot be adequately monitored.</p> <p>Examples of expenditures and items not documented within Area 11 FCC minutes included:</p> <ul style="list-style-type: none"> · Travel expenses of Area 11 FCC members for meeting attendance. · Travel expenses of waitlist client guests of the Area 11 FCC for an annual conference. · Office supplies. · Area 11 FCC Budget. <p>Recommendation: To ensure compliance with Section 286.011, Florida Statutes and the Family Care Council Orientation Manual, we recommend that Area 11 FCC prepare, approve and submit minutes for all council meetings to APD as required. APD staff in the Southern Region is responsible for approving all Area 11 FCC expenditures. Therefore, we recommend that the Southern Region staff develop a process to ensure that the Area 11 FCC submits minutes for each meeting; that all Area 11 FCC expenditures are authorized in those minutes; expenditures are in accordance with Section 112.061, Florida Statutes, and the Reference Guide for State Expenditures.</p>	<p>The following process will be implemented in order to ensure compliance and address the deficiencies noted in the Audit Report.</p> <ol style="list-style-type: none"> 1. APD FCC Liaison and or Regional Program Supervisor for Budget Office will provide training to all FCC members to include review of: <ol style="list-style-type: none"> a. Section 393.502 Florida Statute b. Section 286.011 Florida Statute and the Family Care Council Orientation Manual i. FCC will meet and prepare minutes as set forth. ii. FCC will operate the meetings in accordance with approved by-laws and the Florida Sunshine Law. c. Section 112.061 Florida Statute and Reference Guide for State Expenditure. d. Travel Policies & Procedures OP-15-010. 2. APD FCC Liaison will encourage FCC to use Roberts Rules of Order when conducting meetings. 3. APD FCC Liaison will follow-up with the FCC Chair to ensure that a copy of the final and approved meeting minutes are consistently provided to APD FCC Liaison within a mutual agreed period following the meeting where the minutes were distributed, read and approved by Council members. 4. APD Budget Manager will verify that all FCC expenditure requests include a copy of final approved meeting minutes noting board approval of budget decisions. Expenditures will not be approved in the absence of the required documentation. 5. APD FCC Liaison and or Budget Manager will immediately notify the Regional Operations Manager of any discrepancies or concerns for resolution. 6. APD FCC Liaison and or Budget Manager will continue to provide technical assistance to the FCC members as necessary.
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agency for persons with disabilities
State of Florida

**Legislative Budget Request
Fiscal Year 2014-15**

Program Management and Compliance

67100200

Budget Entity 67100200

Program Management and Compliance

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	67100200
	2021

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	647,228	(A)		647,228
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: Transfer to BE 67100100		(E)		0
Total Cash plus Accounts Receivable	647,228	(F)	0	647,228
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	3,909	(H)		3,909
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: Transfer to Budget Entity 67100300	112,171	(J)		112,171
Unreserved Fund Balance, 07/01/13	531,148	(K)	0	531,148 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: Agency for Persons with Disabilities
Trust Fund Title: Administrative Trust Fund
Budget Entity: 67100200
LAS/PBS Fund Number: 2021

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 643,319 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "E" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

Transfer to Budget Entity 67100300 (112,171) (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 531,148 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 531,148 (F)

DIFFERENCE: (0) (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	67100200
	2261

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	341,500	(A)			341,500
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	13,247	(D)			13,247
ADD: Transfer from BE 67100300	4,284	(E)			4,284
Total Cash plus Accounts Receivable	359,031	(F)	0		359,031
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	6,886	(H)			6,886
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Rounding	1	(I)			1
Unreserved Fund Balance, 07/01/13	352,144	(K)	0		352,144 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title:	Agency for Persons with Disabilities
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	67100200
LAS/PBS Fund Number:	2261

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 334,613 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "E" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

Transfer from Budget Entity 67100300 4,284 (D)

Adjustment for Receivable from U.S. Grants 13,247 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 352,144 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 352,144 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Operations and Maintenance Trust Fund
LAS/PBS Fund Number:	67100200
	2516

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	11,651,680	(A)			11,651,680
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	5,250,000	(D)			5,250,000
ADD: Transfer to BE 67100100	-8,000,000	(E)			-8,000,000
Total Cash plus Accounts Receivable	8,901,680	(F)	0		8,901,680
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	1,344,963	(H)			1,344,963
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	142,311	(I)			142,311
LESS: _____		(J)			0
Unreserved Fund Balance, 07/01/13	7,414,406	(K)	0		7,414,406 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: Agency for Persons with Disabilities
Trust Fund Title: Operations and Maintenance Trust Fund
Budget Entity: 67100200
LAS/PBS Fund Number: 2516

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	22,519,349 (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(D)
A/P not C/F-Operating Categories	(D)
Current Year Receivable Receivable	5,250,000 (D)
Prior Year Receivable	(8,354,943) (D)
Transfer to Budget Entity 67100100	(12,000,000) (D)
Prior Year A/P-Nonoperating	0 (D)
ADJUSTED BEGINNING TRIAL BALANCE:	7,414,406 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	7,414,406 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**



BUSINESS CASE
LINE OF BUSINESS APPLICATION
EVV & CLIENT DATA MANAGEMENT SYSTEM PROJECT

DATE:
OCTOBER 4, 2013

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1. EXECUTIVE SUMMARY

This business case outlines how the Client Data Management System (CDMS) line of business project will address current challenges facing the Agency, benefits of the proposed project, and justification for the project. The business case also discusses detailed project goals, assumptions, constraints, and alternative options.

1.1. Issue

The Agency for Persons with Disabilities (APD) serves a client base of approximately 54,000 clients of which approximately 32,000 currently receive services and 22,000 are on a wait list receiving little to no services. The Agency has a budget of just over one billion dollars. The vast majority of this budget is utilized for services in the Home and Community Based Waiver program which is a federally matched program under the Centers for Medicare and Medicaid Services (CMS). The state is required to track, measure, report and provide quality improvement processes for 32 specific program performance measures in order to ensure the program funding can continue. The CMS further requires that the state maintain a quality improvement system that is dependent on data collection, data analysis, and reporting.

The Centers for Medicare & Medicaid Services predicts in 2013 the projected losses due to fraud, waste, or abuse will be between 3 – 10% of Florida's Medicaid budget. This fraudulent activity has a direct impact on APD's capacity to serve persons with disabilities and protect the investment of Florida's taxpayers. The Agency for Persons with Disabilities currently relies heavily on manual processes as well as disparate, decentralized and in many cases antiquated systems to collect, analyze and report data consistently. The Agency utilizes hundreds of spreadsheets to collect and analyze data which is extremely time consuming for staff and providers and prone to errors and inaccuracies. Overall, the current environment is inefficient, disposed to fraud and abuse and makes it very difficult to track client outcomes.

1.2. Anticipated Outcomes

The proposed system will allow APD to provide a higher quality of service to clients while reducing fraud and protecting taxpayer dollars. It will give APD the ability to collect, track, report and analyze critical data to prevent fraud, waste or abuse and increase Agency oversight of the service system. The new system will provide the Agency with measureable program standards that are tracked, reported and used to improve the service delivery process.

The features of the new integrated system would include:

- Provider verification of authorization to provide specific services and the frequency of units of service to be paid;
- Longitudinal tracking of a client's progress using a specific service or treatment;
- Tracking and verification of potential recoupment issues and collection of funds;

- Tracking of deactivated providers and those that have been reported for abuse or fraud in the past; and
- Tracking and prevention of stacking of services that is duplicative.
- Reduction and prevention of crisis services;
- Projection of a client’s future short & long range needs using valid and accurate data;
- Identification of providers incorrectly billing services using “agency” rates if the provider does not qualify for that rate and prevention of future incidents;
- Identification of services billed but not provided such as routinely charging for transportation even when client does not go to daily activity and prevention of future incidents; and
- Identification and prevention of improper billing practices such as:
 1. “Charge – void” scheme: when provider charges for a service on one date five times, then voids three of those,
 2. Providing services when provider’s service agreement is out of date or terminated
 3. Refusing to provide required supporting documentation
 4. Using unauthorized rates when billing for services provided.

1.3. Recommendation

The Agency needs an integrated enterprise client data management system that will automate manual processes, collect data at the client specific and provider specific level so analysis, tracking, reporting, fraud prevention and quality improvement processes can be improved. Essential to this data system is the electronic visit verification to ensure that services are delivered as approved by the Agency. In addition, the system will provide an electronic client central record that will contain key data needed to monitor agency performance, provider specific performance and measurable outcomes.

The new system is central to the Agency’s process improvement strategy. APD has conducted process mapping sessions of all core service delivery functions. These requirements will provide the agency with performance measures for agency staff and service providers. It is anticipated the new system will provide a significant reduction of manual processes and provide efficiencies and business process improvements essential to the regionalization of the Agency which has been reorganized from 14 area offices to 6 regional offices.

1.4. Justification

This project is essential to gaining efficiency and increasing the effectiveness of the programs and services funded under the Agency. The Agency has over a billion dollar appropriation, serving 54,000 clients, and over 6000 service providers.

The Agency must maintain compliance with the Centers for Medicare and Medicaid (CMS) regarding the home and community based waiver program assurances. There are thirty-two

sub assurances that the state must demonstrate compliance and each assurance requires data to be collected, tracked, analyzed, and action taken to remediate problems that are identified. The Agency over the last several years has struggled to produce the data required to be in compliance with these assurances for two of the last three Evidentiary Reports.

The enterprise data system is an Agency priority in order to increase program accountability, measure outcomes, reduce fraud and to ensure federal funding is maintained for vital services to the clients APD serves.

2. BUSINESS CASE ANALYSIS TEAM

The following APD resources comprise the business case analysis team. They are responsible for providing input and direction for the analysis and creation of the project business case.

Role	Description	Name/Title
Executive Sponsor	Provides executive support for the project	Barbara Palmer, Agency Director
Program Office	Provides program support for the project	Denise Arnold, Deputy Director of Programs
Budget /Finance	Provides budget support for the project	Sharon Bradford, Deputy Director of Budget and Planning
Procurement/Contracts	Provides procurement support for the project	Cassandra Jenkins, Contract Manager
Technology Support	Provides all technology support for the project	Mark Ervin, CIO
Project Manager	Manages the business case and project team	Deanna Mclean, Art Barndt, Project Managers
Technical Support	Provides all technical expertise for the project	Ken Peacock, Infrastructure Manager
ISM	Provides security expertise for the project	John Collins, ISM
Software Support	Provides all software support for the project	Sriram Kommu, Applications Manager

3. PROBLEM DEFINITION

3.1. Problem/Need Statement

APD serves individuals with developmental disabilities in accordance with Chapter 393 F.S. APD is responsible for the rules, policies, and procedures associated with the determination of eligibility, licensing of residential settings, provider development, and the delivery of services to individuals served by APD programs. APD clients are served in a variety of

settings in the community. Clients served in community settings may reside in their own homes, family homes, licensed group homes or foster homes. Many individuals receiving community based services are enrolled in a Home and Community Based Services (HCBS) Medicaid Waivers, which are Federal Medicaid programs allowing the State to use Medicaid funds to serve an individual in a community setting rather than in an institutional placement.

The Agency depends heavily on manual processes for the data collection needed to manage the service delivery system to clients. There are hundreds of spreadsheets utilized by the Agency to collect, analyze, provide oversight and report on services the Agency oversees. The automated systems that do exist are disparate, decentralized and in many cases antiquated. As a result, the Agency has very limited capability to collect, track, report, and analyze critical data for detection and prevention of fraud, waste and abuse and for needed oversight of the service system. Without the ability to adequately provide analysis oversight, and reporting of services to CMS, APD matching funds could be in jeopardy.

The table below depicts the high-level need/problems identified by the Agency which the propose system will address.

Need	Problem/Need Description
Electronic Visit Verification	The Agency currently does not have a reliable and accurate means of verifying when and where a service is being provided and the actual amount of time the provider spends with the individual. In addition, there is no systematic confirmation of service authorizations or alerts to the Agency.
Core Client Central Record to include application and eligibility documentation, demographic information, legal correspondence, medical information.	The Agency does not have an automated Client Central Record. The Client Central Record needs to include: <ul style="list-style-type: none"> ○ Legal/Financial (e.g., Consumer Information Sheet, Waiver Eligibility Worksheet, etc.) ○ Support Plan and Cost Plan and Individual budget ○ Reports from Providers (e.g., Implementation Plans, provider reports) ○ Contact Record/Case notes ○ Correspondence/Miscellaneous (e.g., Case Transfer Form, Incident Reports) ○ Medical (psychological reports, dental, and information used to determined eligibility)
Provider portal for entry of data, receipt of service authorization and entry of implementation plans to measure service effectiveness.	Each service provider needs the ability to enter data directly into the new system in order to receive service authorizations, document service provision, and provide data on client progress.
Determine Client Waiver Eligibility	The Waiver Eligibility must be completed in its entirety each year. This tool is used to assess the individual’s continuing Level of Care and affirms their ongoing choice to receive community services versus institutionalization.
Provider management directory and provider enrollment	Provider waiver services agreement documents and provider waiver enrollment documentation by service type must be maintained and monitored/renewed every three years.
Rate Management Tracking	Standardized Rates for services must be updated as needed based on rule and law changes. The system must be able to revise rates and allow billing for effective dates of services for up to 12 months past the service delivery date.
Incident Tracking & Management	Incident reporting includes a variety of type of incidents for which

<p>to include medication errors, reactive strategies and death reports</p>	<p>data must be collected, stored, analyzed and remediated. This includes:</p> <ul style="list-style-type: none"> ○ Critical Incident Reports which furnish APD with formal accounts of incidents to drive trend data and responses at the macro and individual level. Monthly aggregate data needs to be compiled and analyzed to report trends in type, location, provider, service and date of incidents. The purpose of this analysis is to identify systemic issues in order to mitigate the recurrence of incidents, and is integral to APD’s quality management activities. ○ Medication errors are reported to APD on the Medication Error Form. APD Medical Case Managers (MCM’s) review and follow up on errors reported by providers, WSC, licensing staff and the QIO to determine if corrective actions are necessary. ○ The Report of Death Form is used statewide to capture data and information regarding recipient deaths. The form consists of five sections that include basic recipient information, demographics, medical data, narrative or description of events and notifications ○ Providers must collect and maintain data on Reactive Strategies used as part of a behavior management plan which includes techniques and procedures that are needed for emergency situations in which the client’s health and safety are being compromised. This includes conducting assessments to determine history of trauma and pre-existing medical conditions that may preclude specific techniques or procedures, and the frequency and surrounding circumstances in which the procedures are used. This data must be directly entered at the service level by the service provider.
<p>Provider Billing and Reporting</p>	<p>There needs to be an electronic claims billing and tracking system to monitor over 6000 service providers.</p>
<p>Attachment and Document Storage</p>	<p>There are numerous documents such as agency notices to clients, providers, and legal documents that must be maintained for each client and there is a need for document storage of these documents and also the ability to attach documents to the client record.</p>
<p>Integration with other databases CDC+ databases</p>	<p>There are several databases that provide key client information on the Consumer Directed Care Plus Program that must be integrated into the new enterprise system.</p>
<p>Facility licensure and monitoring of licensure compliance and bed availability tracking</p>	<p>There are over 1600 facility licenses that must be monitored monthly and licenses reissued annually depending on the performance of the provider. Currently this data is not collected in an electronic format and therefore the data is not available to trend issues and to remediate the issues systemically.</p>
<p>Remediation tracking of quality assurance citations to include identification of recoupment and corrective action plans.</p>	<p>The Agency needs a mechanism to track identification of possible fraud or possible recoupment of paid claims from a provider. This includes tracking of service authorizations, billing of claims and the resulting void and adjustment of claims data.</p>
<p>Reporting of performance measures to the Centers for Medicare and Medicaid (CMS) for compliance with Home and</p>	<p>There are 32 performance measures the must have data collected on for all clients enrolled in the HCBS waiver program. Each assurance requires data to be collected, stored, analyzed and remediated on an ongoing basis and must be report to the CMS regularly.</p>

Community Based Services Wavier requirements.	
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3.2. Organizational Impact

Organizational Impact Category	Organizational Impact
Tools	Will provide agency staff with statewide data access to client information for authorization of services, monitoring of service delivery, tracking and trending of service provision, provider billing and electronic visit verification.
Processes	All business processes will become more efficient with the new system due to electronic access to client records and the ability to measure timeliness of service delivery, agency action, provider performance and program accountability for client outcomes.
Roles and Responsibilities	Will provide greater communication and efficiencies between waiver support coordinators, services providers and the Agency staff since client data will be available in the system and accessed easily by the client's providers of services. Actions that require agency approval will be efficiently communicated between the providers and the agency.
Hardware/Software	The new system will be accessed through an internet portal which will allow agency staff and providers to enter data and process information more timely. The hardware and software required to access and use the system is standard in most computers.

4. TECHNOLOGY

4.1. Current Information Technology Environment

4.1.1. Current Systems

The table below lists the current technology environment.

Name of Current System	Description of Current System	Current System Resource Requirements	Current System Performance
ABC (Allocation Budget and Contract Control System)	The Allocation, Budget and Contract Control (ABC) system is an automated and integrated client/budget information system designed to support planning and service provision to individuals with developmental disabilities who are clients of the Agency Persons with Disabilities. Invoices for State funded services and Cost plans for Medicaid Waiver funded services are entered into the system and expenditure information can be tracked and identified for individual consumers. The system also includes the consumer and vendor/provider demographic	Load Balanced Web / Application Server MS ASP.NET Framework 3.5 AMT Framework Failover SQL Server Cluster SQL Server 2005 Databases Reporting Server SQL Server Reporting Services Windows Server 2008	Total Number of Current Users: 1270 Max Number of Concurrent User Sessions Supported: 250

	information.		
iBudget (Individualized Budget) Web System	The iBudget Web System provides a new and better way for the Agency for Persons with Disabilities to manage the Medicaid waiver system for people with developmental disabilities. The iBudget Web System gives APD customers more control and flexibility to choose services that are important to them, while helping the agency to stay within its Medicaid waiver appropriation. Guiding Principles for iBudget are Simplicity, Equity, Self-Direction and Sustainability.	Load Balanced Web / Application Server MS ASP.NET Framework 3.5 MS CRM 4.0 Failover SQL Server Cluster SQL Server 2005 Databases Reporting Server SQL Server Reporting Services Windows Server 2008	Total Number of Current Users:1623 Max Number of Concurrent User Sessions Supported: 400
SETS (Supported Employment Tracking System)	Supported Employment System (SETS) maintains current/prior job and the associated information for Supported Employment Clients and also provide various reports for Central and Area offices	Web / Application Server MS ASP.NET Framework 4.0 SQL Database Server SQL Server 2005 Database Windows Server 2003	Total Number of Current Users: 50 Max Number of Concurrent User Sessions Supported: 50
QSI (Questionnaire for Situational Information)	Questionnaire for Situational Info (QSI) system provides the ability for a QSI assessor to record the information after assessing the APD client living situation and the changes in their needs on a scheduled time frame.	Load Balanced Web / Application Web / Application Server MS ASP.NET Framework 2.0 SQL Database Server SQL Server 2005 Databases Windows Server 2003	Total Number of Current Users: 1418 Max Number of Concurrent User Sessions Supported: 150

4.1.2. Strategic Information Technology Direction

The current line of business applications utilized by APD consists of several disparate and antiquated systems which automate only a small portion of the business and administrative functions of the agency. The systems that are automated often require considerable manual intervention for maintenance, operations, support and integration with other systems. In addition, the vast majority of the business functions required by

the Agency remain manual processes. The current environment is inefficient, costly and does not meet the Agency's needs.

The strategic direction for APD Information Technology is to provide technology solutions that enable the organization to be successful. This task must be undertaken with the constraints of limited budgets and considerable needs. That is, do more with less. To effectively meet these challenges APD IT has considered all options for addressing the line of business technology needs for the Agency and in doing so is strategically moving in the direction of a Commercial Off the Shelf (COTS) solution that is offered as Software as a Service (SaaS).

4.1.3. Information Technology Standards

See Attachment "Application development Standards" document for details of current technology standards.

4.2. Proposed Solution Description

4.2.1. Summary Description of Proposed System

APD has been evaluating options for an enterprise line of business application that will address the needs of the Agency. While the Agency has not finalized vendor selection, the decision has been made to use a commercial-off-the-shelf (COTS) software as a service solution. The list below outlines the salient points for APD's proposed system direction.

- Meets the majority of the Agency requirements without the need for risky and costly custom development
- Lower costs to meet Agency requirements
- Fixed price
- Shortened implementation timeframes resulting in needed functionality being available sooner
- Phased implementation approach allowing for prioritization of implementation of those modules that are most critical to the Agency (e.g. electronic visit verification)
- Easier administration
- Lower cost for operations and maintenance (HW/SW/DR/Hosting)
- Automatic updates and patch management
- Compatibility: All users will have the same version of software.
- Easier collaboration, for the same reason
- Accessibility (can be accessed from any internet connect web browser)
- HIPPA and HITECH compliant
- Statewide training of Providers and Waiver Support Coordinators
- Ongoing helpdesk support to the provider level

4.2.2. Resource and Summary Level Funding Requirements for Proposed System

The strategic direction of the Agency is to select a vendor that utilizes a COTS software solution, which will be purchased and hosted in Software as a Service (SaaS) model. The hardware, software as well as the operations and maintenance of the solution is included in the cost of the service. The exact number of staffing required to augment the solution (e.g. interface, batch, reporting etc.) will be determined when a solution have been finalized. However, the Agency does not anticipate needing any additional resources to augment the solution.

4.2.3. Capacity Planning

The goal of capacity planning is to identify the right amount of resources required to meet the Agency’s service demands now and in the future. The strategic direction of the Agency is to select a vendor that utilizes a COTS software solution, which will be purchased and hosted in Software as a Service (SaaS) model. In a SaaS model, capacity planning will be provided by the software vendor based on Agency requirements. The cost to meet the capacity requirements is born by the vendor and included as part of the service. The Agency will utilize a Service Level Agreement with the selected vendor to ensure capacity requirements are met with remedies (financial penalties) for failure to meet agreed upon service levels. The Agency has provided the following capacity requirements for a proposed solution:

- 53,000 Client Records - 5% Potential growth rate annually
- 33,700 Users Accessing System - 2% potential growth annually
- 5,000 Users Accessing System Concurrently - 2% potential growth annually
- 600 GB storage capacity - 10% potential growth annually

4.2.4. Ability of the proposed system to meet projected performance requirements

The Table below outlines the performance objectives for the proposed system and APD’s evaluation system (s) evaluation. The Agency will utilizes a Service Level Agreement with the selected vendor to ensure performance requirements are met with remedies (financial penalties) for failure to meet agreed upon service levels.

Performance Objective	Expected Performance requirements	Proposed System Compliance
Number of Users (Waiver Support Coordinators, Service Providers, APD Staff)	33,700 users	Meets or exceeds expected performance requirement
Number of concurrent user sessions	8400 Concurrent user sessions	Meets or exceeds expected performance requirement
Scalability	System is scalable to meet changing performance demands	Meets expected performance requirement
Availability	99.5% system availability	Meets expected performance requirement
Extensibility	System is extensible to meet	Meets expected performance

	changing business requirements	requirement
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4.3. Technology Impact of Proposed Technology

The overall impact to technology is expected to be minimal as the proposed technology would employ Software as a Service solution. This solution greatly minimizes the technology impact to technology and the associated resources compared to a more traditional system development lifecycle (SDLC) approach. Please see table below for the technology impact by phase.

Phase	Technology Impact (Low/Med/High)
Phase I – Procurement, Statement of Work, Contract	Low: The primary impact to IT during this phase will be analysis and review to ensure the proposed solution meets APD IT standards and requirements.
Phase II - Project Charter, Project Plan, Project Schedule. Confirm Stakeholders, Communications, Project Kick-Off, Develop Framework for Work Products, Discovery	Low: The primary impact to IT during this phase will be to provide subject matter expertise through discovery and resource alignment for the development of the project schedule.
Phase III – Review Requirements/Design & Perform Gap/Fit Analysis with Vendor Solution	Low: The primary impact to IT during this phase will be to provide subject matter expertise to the project team during the requirements/design review and gap/fit analysis.
Phase IV – Customization/Configuration/Process Realignment to Remediate Gap/Fit	Low: The primary impact to IT during this phase will be to provide subject matter expertise to the project team to assist with remediation efforts.
Phase V – Begin On-Site Training for Regions	Low: The primary impact to IT during this phase will be to receive training on the administration and operations of the proposed system.
Phase VI – Begin Regionally Phased & Prioritized Rollout of Solution Functionality (In order of priority): <ul style="list-style-type: none"> ○ EVV module and Client Central Record to include Waiver Eligibility, Support Plan and Service Authorizations and critical incident reporting ○ Facility Licensure and monitoring ○ Remediation Tracking system ○ Provider enrollment ○ Client satisfaction 	Med: The primary impact to IT during this phase will be to work with the project team to develop the necessary integration with APD’s existing systems in line with the project functionality roll-out.

Phase	Technology Impact (Low/Med/High)
Phase VII – Replace iBudget	<p>High: The primary impact to IT during this phase will be to work with the project team to work with the project team to ensure the following:</p> <ul style="list-style-type: none"> ○ Required functionality exist in the system to assume the functions of iBudget ○ Develop and execute a data conversion plan for iBudget ○ Develop the necessary batch jobs currently existing in iBudget
Phase VIII – Replace ABC	<p>High: The primary impact to IT during this phase will be to work with the project team to work with the project team to ensure the following:</p> <ul style="list-style-type: none"> ○ Required functionality exist in the system to assume the functions of ABC ○ Develop and execute a data conversion plan for ABC ○ Develop the necessary batch jobs currently existing in ABC
Closeout/Project Completion	<p>Low: The primary impact to IT during this phase will be to receive any final training for operations and administration and to ensure there is appropriate documentation for the system.</p>

5. PROJECT OVERVIEW

The CDMS project is being undertaken to increase the Agencies ability to collect and report service specific data from providers, to ensure authorized and timely service delivery to APD clients and provide measurable provider outcomes. It addition, it is expected to increase efficiency by collecting, processing, and storing client information in a consistent and effective manner. An essential part of this vision is electronic visit verification, which feeds into an electronic client central record that will contain the key data needed to monitor client progress, as well as agency, and provider performance and fiscal accountability.

In support of and in alignment with this project, the Agency over the last 8 months has embarked on a comprehensive process and system improvement effort, which includes new system development and business process improvement initiatives, as well as operational reorganization and consolidation and is moving from 14 area offices to 6 regional offices. Implementation of the new system will be key to realizing the efficiencies envisioned as part of this effort.

5.1. Goals and Objectives

The Agency’s vision is to have a single, secure, integrated, person centered system that can collect, coordinate, store and evaluate all the data within the Support Plan/Cost Plan cycle and related processes. At the center of this proposed system is the electronic visit

verification which will ensure services are delivered as agreed upon thereby increasing accountability and reducing fraud. This component of the system will feed into an electronic client central record that will contain the key data needed to monitor client progress as well as Agency and provider performance and measurable outcomes.

It is anticipated this effort will provide the following goals and objectives:

Business Goal/Objective	Description
Fraud Prevention	<ul style="list-style-type: none"> ▪ Electronic Visit Verification (EVV) of home based services to verify authorization to provide specific services and the frequency of units of service to be paid. ▪ Identification, tracking, management and disposition of recoupment issues involving collection of funds. ▪ Tracking of deactivated providers, those that have been reported for abuse or fraud in the past, and those subject to correction action/remediation plans.
Measurable Outcomes	<ul style="list-style-type: none"> ▪ Longitudinal tracking of a client’s progress using a specific service or treatment. ▪ Service utilization reviews that ensure the most cost effective services are provided ▪ Measurement of client’s progress toward employment outcome
Analysis & Reporting	<ul style="list-style-type: none"> ▪ Reporting and data analysis of service provision and provider billings to: <ul style="list-style-type: none"> ○ identify and prevent stacking of services that are duplicative ○ project a client’s future short & long range needs using valid data ▪ Reporting of performance measures to the Centers for Medicare and Medicaid for continuation of the Home and Community Based Services Waiver
More Efficient Oversight	<ul style="list-style-type: none"> ▪ Quality Assurance reviews, documentation and disposition.
Improved Business Process Efficiencies	<ul style="list-style-type: none"> ▪ Internet based portal for all Agency staff and service providers to access client data, record client data, and report to the agency ▪ Electronic access for service providers of service authorizations ▪ Timely and efficient processing of service requests ‘ ▪ Timely and efficient monthly monitoring of licensed facilities ▪ Timely and efficient eligibility determination

5.2. Project Assumptions

Certain assumptions and premises need to be made to identify and estimate the required tasks and timing for the project. Based on the current information available, the project assumptions are listed below:

- The project is the top strategic IT initiative for the Agency.

- The project has executive-level support and backing.
- There is commitment from all stakeholders to the project objectives, goals and timelines.
- Funding is available for the project.
- Ongoing coordination and communication between project team and stakeholders.
- Project schedule will be strictly adhered to and tasks completed as scheduled, to meet interim milestones deliverables.
- Commitment to speed of decision-making at all levels.
- The APD CIO will provide timely approval for each phase of the project.
- Agency business and technical subject matter experts will be made available by APD Executive Sponsors to ensure all project milestones are successfully completed on time.
- Area staff, central offices staff and provider stakeholders will be involved in user acceptance testing of the pilot system.

If an assumption is invalidated at a later date, then the activities and estimates in the project plan will be adjusted accordingly.

5.3. Project Constraints

The following constraints apply to the Client Data Management System Project. As project planning begins and more constraints are identified, they will be added accordingly.

- There is limited budget for this project.

5.4. Major Project Milestones

The following are the major project milestones identified at this time. As the project planning moves forward and the schedule is developed, the milestones and their target completion dates will be modified, adjusted, and finalized as necessary to establish the baseline schedule.

Milestones/Deliverables	Target End Date
Phase I – Procurement, Statement of Work, Contract	December 31, 2013
Phase II - Project Charter, Project Plan, Project Kick-Off, Discovery, Project Schedule, Migration schedule	January 31, 2014
Phase III – Review Requirements/Design & Perform Gap/Fit Analysis with Vendor Solution	March 31, 2014
Phase IV – Customization/Configuration/Process Realignment to Remediate Gap/Fit	April 30, 2014
Phase V – On-Site Training for Regions	June 15, 2014

Milestones/Deliverables	Target End Date
Phase VI – Regionally Phased & Prioritized Rollout of Solution Functionality (In order of priority) <ul style="list-style-type: none"> ○ EVV module and Client Central Record to include Waiver Eligibility, Support Plan and Service Authorizations and critical incident reporting ○ Facility Licensure and monitoring ○ Remediation Tracking system ○ Provider enrollment ○ Client satisfaction 	July 1, 2014
Phase VII – Replace iBudget	January 15, 2015
Phase VIII – Replace ABC	June 30, 2015
Closeout/Project Completion	July 31, 2015

6. STRATEGIC ALIGNMENT

The CDMS project is in direct support of several of the Agency’s Strategic Plan initiatives. By directly supporting the strategic plan, this project will greatly improve APD’s ability to reduce fraud and overpayment, more effectively and efficiently serve our clients, improve oversight of providers, monitor outcomes and increase APD’s ability to provide analysis and reporting to key stakeholders (CMS, Governors Office, Legislature, etc.).

Plan Name	Goals/Objectives
APD Strategic Plan	Improve customer satisfaction through better customer service.
APD Strategic Plan	Foster sustainability via reform of the Medicaid finance structure and through supports and services for clients through public private partnerships and community development.
APD Strategic Plan	Increase accountability via better data systems and close matching between budget and programs.
APD Strategic Plan	Serve individuals on the waitlist as funds become available and through information and education on existing community and other resources.

7. COST ANALYSIS

Please see attached cost analysis.

8. ALTERNATIVES ANALYSIS

The following alternative options have been considered to address the Agency challenges identified in this business case. These alternatives were not selected for a number of reasons which are also explained below.

No Project (Status Quo)	Reasons For Not Selecting Alternative
Keep the current systems in place	<ul style="list-style-type: none"> ▪ Current systems do not meet federal CMS assurances ▪ Agency is heavily dependent on inefficient manual processes ▪ Existing functionality of automated system does not meet Agency needs ▪ Disparate and antiquated technology ▪ Lacking automated controls to effectively reduce fraud and abuse
Alternative 1	Reasons For Not Selecting Alternative
Provide Services In-House	<ul style="list-style-type: none"> ▪ Cost prohibitive • Long implementation lifecycle • Lack of resources • Lack of expertise • Custom development projects are very high risk

9. APPROVALS

The signatures of the people below indicate an understanding in the purpose and content of this document by those signing it. By signing this document you indicate that you approve of the proposed project outlined in this business case and that the next steps may be taken to create a formal project in accordance with the details outlined herein.

Approver Name	Title	Signature	Date
Barbara Palmer	Agency Director		
Michael Ayers	Chief of Staff		
Denise Arnold	Deputy Director of Programs		
Sharon Bradford	Deputy Director of Budget and Planning		
Mark Ervin	CIO		
Cassandra Jenkins	Contracts		

Success/Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Recipient	How is the Benefit Realized?	How Will the Realization of the Benefit be Assessed/Measured?	Realization Date (MM/YY)
1	More efficient transactions for client service needs	Intangible	Client	Faster Decisions regarding service needs	Time to respond to client request	07/14
2	Fraud prevention and service delivery verification	Tangible	Client Agency	Data collected from statewide actual expenditures for the Fiscal Year 2011-12 showed 21,336 clients with \$278.01 million in expenditures for in-home services. A conservative 2% reduction from elimination of fraud and billing abuses is \$5.56 million a year. The first year would not see a full savings based on an implementation schedule of 6 to 12 months.	Longitudinal comparison of provider claims billing to client service delivery	07/14
3	Reduce Cost for Operations/ Maintenance	Tangible	Agency	Cost Savings from the elimination of the current billing and data systems.	Verification in Reduction of Cost Savings	07/15

4	Ability to track, measure, analyze, and trend service data and client progress to increase program accountability and to ensure maximum number of clients are served within budget appropriation	Intangible	Client Agency	Number of clients served	Number of clients served and client progress	07/15
5	Provider access to service authorizations promptly	Intangible	Client Provider Region staff	Reduction of time lapse from date of service approval to service delivery		07/14
6	Ability to track client incidents and follow up needed to address the issue	Intangible	Client	Analysis and trending of incident reports to implement corrective action needed	Reduction in type of incidents and timeliness of corrective action	07/14
7	Review of Service outcomes through utilization review to ensure client services are meeting the need and to ensure cost containment is maximized	Intangible	Client	Review of services delivered, client progress made, adjustment of authorized services	Number of services that are reduced over time as client progress is made	07/15
8	Compliance with CMS federal program is required for waiver federal matching funds	Intangible	Client Agency	State continues to receive federal matching funds for services under the federal waiver program	Submittal of Evidentiary Reports that are found to be in compliance	07/15
9	Secure maintenance of client central record	Intangible	Client Agency	Confidential information is stored securely	Number of records stored electronically	07/14

10	Improve accuracy of monitoring of licensed residential facilities and corrective action needed	Intangible	Client	Licensed facility monitoring data can be analyzed and trended to strengthen quality assurance system	Number of licenses resulting in administrative action	07/15
11	Improved tracking and monitoring of client behavioral and medical interventions to ensure client health and safety is protected	Intangible	Client	Reporting of medication errors and use of reactive strategies for behavior issues can be tracked, trended and remediated	Number of medication errors and reactive strategies used	07/15

CBAForm 1 - Net Tangible Benefits

Agency	<u>APD</u>	Project	<u>CDMS</u>
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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 <i>(Operations Only -- No Project Costs)</i>	FY 2014-15			FY 2015-16			FY 2016-17			FY 2017-18			FY 2018-19		
	(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)	\$250,000	\$0	\$250,000	\$250,000	\$0	\$250,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	3.00	0.00	3.00	3.00	0.00	3.00	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)	\$250,000	\$0	\$250,000	\$250,000	\$0	\$250,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	3.00	0.00	3.00	3.00	0.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$565,080	\$0	\$565,080	\$565,080	\$0	\$565,080	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$162,000	\$0	\$162,000	\$162,000	\$0	\$162,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$297,080	\$0	\$297,080	\$297,080	\$0	\$297,080	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <i>Specify</i>	\$106,000	\$0	\$106,000	\$106,000	\$0	\$106,000	\$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 (including PDC services)	\$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)	\$815,080	\$0	\$815,080	\$815,080	\$0	\$815,080	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$2,780,000			\$5,560,000			\$5,560,000			\$5,560,000			\$5,560,000	
F-1. <i>Fraud Savings from EVV</i>		\$2,780,000			\$5,560,000			\$5,560,000			\$5,560,000			\$5,560,000	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$2,780,000			\$5,560,000			\$5,560,000			\$5,560,000			\$5,560,000	

CHARACTERIZATION 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>APD</u>	Project	<u>CDMS</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	
TOTAL PROJECT COSTS (*)	\$2,050,000	\$1,800,000	\$1,800,000	\$1,800,000	\$1,800,000	\$9,250,000
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$2,050,000	\$3,850,000	\$5,650,000	\$7,450,000	\$9,250,000	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level	x	90%
Placeholder	Confidence Level		

CBAForm 3 - Project Investment Summary

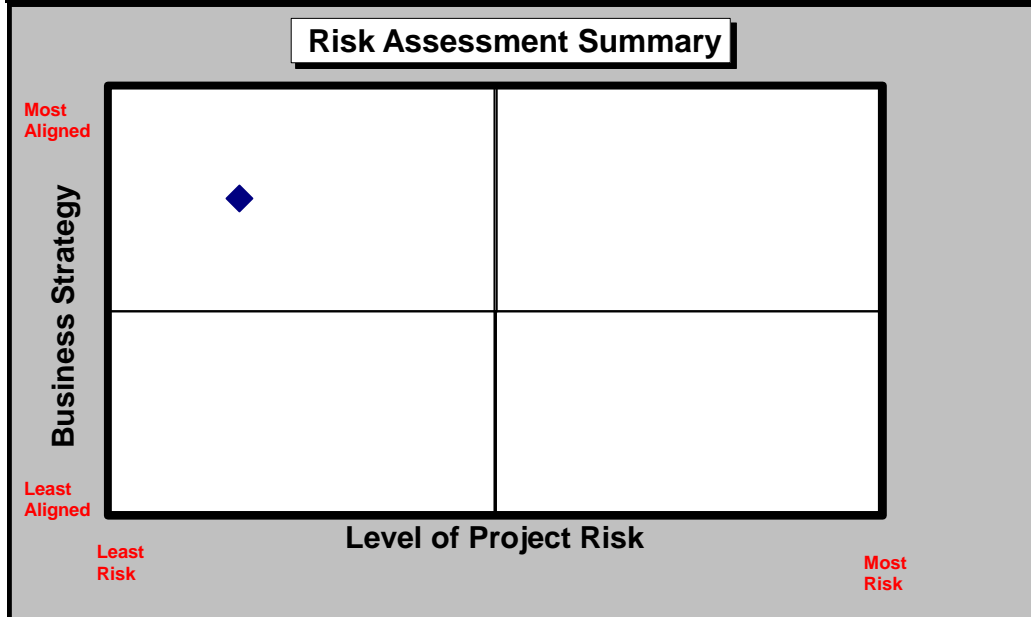
Agency	<u>APD</u>	Project	<u>CDMS</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	TOTAL FOR ALL YEARS
Project Cost	\$2,050,000	\$1,800,000	\$1,800,000	\$1,800,000	\$1,800,000	\$9,250,000
Net Tangible Benefits	\$2,780,000	\$5,560,000	\$5,560,000	\$5,560,000	\$5,560,000	\$25,020,000
Return on Investment	\$730,000	\$3,760,000	\$3,760,000	\$3,760,000	\$3,760,000	\$15,770,000
Year to Year Change in Program Staffing	0	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	2014-15	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$13,890,103	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.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Project	<i>Client Data Management System Project</i>	
Agency	<i>Agency For Persons With Disabilities</i>	
FY 2014-15 LBR Issue Code:	FY 2014-15 LBR Issue Title:	
<i>36302C0</i>	<i>Client Data Management System</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Sharon Bradford-----414-6058 ----- Sharon.Bradford@apdcares.org</i>		
Executive Sponsor	<i>Barbara Palmer</i>	
Project Manager	<i>Mark Ervin</i>	
Prepared By	<i>APD</i>	<i>10/4/2013</i>



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

Agency: Agency For Persons With Disabilities

Project: Client Data Management System Project

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	Project charter signed by executive sponsor and executive team actively engaged in 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 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	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	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Agency For Persons With Disabilities

Project: Client Data Management System Project

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	External technical resources will be needed 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	

Agency: Agency For Persons With Disabilities

Project: Client Data Management System Project

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
		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	Yes
		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 greater 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	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	

Agency: Agency For Persons With Disabilities Project: Client Data Management System Project

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 \$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%)	Detailed and rigorous (accurate within ±10%)
		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	Within 3 years
		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)	Firm Fixed Price (FFP)
		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	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	

Agency: Agency For Persons With Disabilities

Project: Client Data Management System Project

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	System Integrator (contractor)
		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	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	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	

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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	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	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	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	Yes
		No	
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 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	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	

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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	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	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	



**CLIENT DATA MANAGEMENT SYSTEM
PROJECT CHARTER**

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SECTION 1 CHARTER DETAILS

Project Name	Client Data Management System Project		
Requesting Business Unit	Programs		
Request or Submit Date			
Estimated Project Size	Medium 12 Months - 2 Years		
Business Unit Requestor/Title/Phone	Denise Arnold	Deputy Director of Programs	
Sponsor/Title/Phone	Barbara Palmer	Director of APD	
Budget& Planning/Title/Phone	Sharon Bradford	Deputy Director of Budget & Planning	
Information Technology/Title/Phone	Mark Ervin	Chief Information Office	

SECTION 2 PURPOSE

The purpose of the Client Data Management System project charter is to communicate the authorization for the project and the management approach to project participants and external entities. The project charter lays the groundwork for informed decisions and planning regarding projection direction, outcomes and delivery.

2.1.1 Project Executive Summary

The Agency for Persons with Disabilities (APD) serves a client base of approximately 54,000 clients of which approximately 32,000 currently receive services and 22,000 are on a wait list receiving little to no services. The Agency has a budget of just over one billion dollars. The vast majority of this budget is utilized for services in the Home and Community Based Waiver program which is a federally matched program under the Centers for Medicare and Medicaid Services (CMS). The state is required to track, measure, report and provide quality improvement processes for 32 specific program performance measures in order to ensure the program funding can continue. The CMS further requires that the state maintain a quality improvement system that is dependent on data collection, data analysis, and reporting.

The Centers for Medicare & Medicaid Services predicts in 2013 the projected losses due to fraud, waste, or abuse will be between 3 – 10% of Florida's Medicaid budget. This fraudulent activity has a direct impact on APD's capacity to serve persons with disabilities and protect the investment of Florida's taxpayers. The Agency for Persons with Disabilities currently relies heavily on manual processes as well as disparate, decentralized and in many cases antiquated systems to collect, analyze and report data consistently. The Agency utilizes hundreds of spreadsheets to collect and analyze data which is extremely time consuming for staff and providers and prone to errors and inaccuracies. Overall, the current environment is inefficient, disposed to fraud and abuse and makes it very difficult to track client outcomes.

The Agency needs an integrated enterprise client data management system that will automate manual processes, collect data at the client specific and provider specific level so analysis, tracking, reporting, fraud prevention and quality improvement processes can be improved.

Essential to this data system is the electronic visit verification to ensure that services are delivered as approved by the Agency. In addition, the system will provide an electronic client central record that will contain key data needed to monitor agency performance, provider specific performance and measurable outcomes.

The new system is central to the Agency's process improvement strategy. APD has conducted process mapping sessions of all core service delivery functions. These requirements will provide the agency with performance measures for agency staff and service providers. It is anticipated the new system will provide a significant reduction of manual processes and provide efficiencies and business process improvements essential to the regionalization of the Agency which has been reorganized from 14 area offices to 6 regional offices.

SECTION 3 PROJECT GOALS AND OBJECTIVES

The key objectives of the Client Data Management System are listed below:

Goals And Objectives	Description
Fraud Prevention	<ul style="list-style-type: none"> ▪ Electronic Visit Verification (EVV) of home based services to verify authorization to provide specific services and the frequency of units of service to be paid. ▪ Identification, tracking, management and disposition of recoupment issues involving collection of funds. ▪ Tracking of deactivated providers, those that have been reported for abuse or fraud in the past, and those subject to correction action/remediation plans.
Measurable Outcomes	<ul style="list-style-type: none"> ▪ Longitudinal tracking of a client’s progress using a specific service or treatment. ▪ Service utilization reviews that ensure the most cost effective services are provided ▪ Measurement of client’s progress toward employment outcome
Analysis & Reporting	<ul style="list-style-type: none"> ▪ Reporting and data analysis of service provision and provider billings to: <ul style="list-style-type: none"> ○ identify and prevent stacking of services that are duplicative ○ project a client’s future short & long range needs using valid data ▪ Reporting of performance measures to the Centers for Medicare and Medicaid for continuation of the Home and Community Based Services Waiver
More Efficient Oversight	<ul style="list-style-type: none"> ▪ Quality Assurance reviews, documentation and disposition.
Improved Business Process Efficiencies	<ul style="list-style-type: none"> ▪ Internet based portal for all Agency staff and service providers to access client data, record client data, and report to the agency ▪ Electronic access for service providers of service authorizations ▪ Timely and efficient processing of service requests ▪ Timely and efficient monthly monitoring of licensed facilities ▪ Timely and efficient eligibility determination
Technology	<ul style="list-style-type: none"> ▪ Reduce Implementation/Deployment Time ▪ Reduce Cost for Operations/Maintenance

SECTION 4 PROJECT SCOPE

The scope of this project includes the following:

#	Requirement Description	Requirement Type
1.	Electronic Visit Verification to include care giver scheduling, mobile device verification and interface with billing and claims system/s.	Business Functional
2.	Provider portal for data entry into all client support related modules that can be accessed via Internet connection.	Business Functional
3.	Consumer / family portal to allow families to view appropriate portions of client record via Internet connection	Business Functional
4.	Online application for services that can be completed over the Internet by potential consumers	Business Functional
5.	Eligibility determination module that tracks criteria and requirements for eligibility levels and allows for a checklist of required documents. Automatically determines eligibility based upon predetermined criteria and data entered into application	Business Functional
6.	Online client-centered support plan/plan of care that contains narratives outlining client characteristics, medical history, goals, objectives and pertinent medication list – will automatically tie to provider implementation plan; used for the annual summary as well	Business Functional
7.	Online provider implementation plan that contains activities and tasks that directly tie to support plan goals and objectives. Contains case notes entry section and has notification ability to communicate with Agency and Wavier Support Coordinators.	Business Functional
8.	Incident Reporting module that will separately track various incident types such as reportable and critical (including death tracking, death reporting, reactive strategies and medication errors).	Business Functional
9.	Online facility license application and renewal module hosts all facility related data such as facility type, services provided, accommodations provided, bed availability, and monitoring and remediation results.	Business Functional
10.	Group home monitoring module that contains an online checklist which has the ability to automatically trigger written notice to providers and Agency staff indicating areas to be remediated. Tracks remediation timeframes and documents final resolution of citations. Ties into facility licensing module.	Business Functional
11.	Residential placement and tracking, including tracking of bed availability by provider and by provider characteristics.	Business Functional

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#	Requirement Description	Requirement Type
12.	Medication administration record including medication history and integration with pharmacies.	Business Functional
13.	Provider remediation documentation and tracking.	Business Functional
14.	Provider recoupment documentation and tracking.	Business Functional
15.	Provider turnover management and tracking to include provider and waiver support coordinator changes.	Business Functional
16.	Provider enrollment online application and recertification.	Business Functional
17.	Entry of data related to crisis enrollment and cost plan reviews.	Business Functional
18.	Wait list management and prioritization.	Business Functional
19.	Employment tracking, including employment history, salary, performance and desires.	Business Functional
20.	Waiver Eligibility Worksheet / Level of Care – ability to capture State of Florida mandated forms that are based upon application and eligibility data in system. Worksheet should be automatically generated based upon data entered in Application and Eligibility modules.	Business Functional
21.	Workflow and notification capability based upon state requirements. All modules should tie together.	Business Functional
22.	Reporting capability based upon reports defined by state and Federal reporting requirements.	Business Functional
23.	General assessment tool to include skills and support needs - may integrate with some support plan fields and serve as the QSI assessment tool.	Business Functional
24.	Online functional behavioral assessments.	Business Functional
25.	Online behavior program that allows for entry of progress notes and attachment of graphed data (this will serve as the provider implementation plan for providers that offer behavioral services).	Business Functional
26.	Online scheduling and tracking of reviews of behavior programs with recommendations and decisions from the Local Review Committee.	Business Functional
27.	Quality assurance reports to include all Federal CMS reporting requirements.	Business Functional
28.	Training and professional license tracking and management to ensure providers meet APD requirements for staff training and professional	Business Functional

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#	Requirement Description	Requirement Type
	license requirements.	
29.	Electronic claims/billing submission and tracking.	Business Functional
30.	Electronic service authorizations that tie to electronic service logs.	Business Functional
31.	Ability to input and track provider service logs and tie to provider implementation plans.	Business Functional
32.	Service records that serve as service and attendance logs and tie into billing amounts.	Business Functional
33.	Tracking of abuse, neglect and exploitation; requires working with Department of Children and Families to collect and follow-up on reported data. Ability to tie tracking to remediation plans to correct.	Business Functional
34.	Ability to scan, index and store client files and associate with client identification numbers.	Business Functional
35.	Ability to attach documentation to central client record.	Business Functional
36.	Internet based, “Software as a Service (SaaS)” solution.	Technical
37.	Hosting and Infrastructure support (including network) included	Technical
38.	Anti-Virus included	Technical
39.	Database (Oracle/MS SQL) included	Technical
40.	Application Platform and Licenses included	Technical
41.	Hardware and Operating Systems included	Technical
42.	Disaster recovery included	Technical
43.	System security down to the caregiver level with unique system IDs and passwords	Technical
44.	HIPAA and HITECH compliant	Technical
45.	Audit trails	Technical
46.	Electronic signature	Technical
47.	Helpdesk available to APD technical staff and all users, including Providers (Provide details in comments)	Misc
48.	Training provided to APD staff and all providers (including waiver support	Misc

#	Requirement Description	Requirement Type
	coordinators).	

SECTION 5 ESTIMATED DURATION AND MILESTONES

5.1 Estimated Duration

Project Dates							
Initiation		Planning		Execution		Closing	
Start	Finish	Start	Finish	Start	Finish	Start	Finish
7/1/2013	12/31/2013	1/06/2014	2/02/2014	2/03/2014	6/30/2015	7/1/2015	7/31/2015

5.2 Milestones

Milestones/Deliverables	Target End Date
Phase I – Procurement, Statement of Work, Contract	December 31, 2013
Phase II - Project Charter, Project Plan, Project Kick-Off, Discovery, Project Schedule, Migration schedule	January 31, 2014
Phase III – Review Requirements/Design & Perform Gap/Fit Analysis with Vendor Solution	March 31, 2014
Phase IV – Customization/Configuration/Process Realignment to Remediate Gap/Fit	April 30, 2014
Phase V – On-Site Training for Regions	June 15, 2014
Phase VI – Regionally Phased & Prioritized Rollout of Solution Functionality (In order of priority) <ul style="list-style-type: none"> ○ EVV module and Client Central Record to include Waiver Eligibility, Support Plan and Service Authorizations and critical incident reporting ○ Facility Licensure and monitoring ○ Remediation Tracking system ○ Provider enrollment ○ Client satisfaction 	July 1, 2014
Phase VII – Replace iBudget	January 15, 2015
Phase VIII – Replace ABC	June 30, 2015
Closeout/Project Completion	July 31, 2015

SECTION 6 PROJECT DELIVERABLES:

The deliverables are identified in the Statement of Work as an attachment to the ITN. There may be changes to the required deliverables based on the chosen solution and vendor selection. Any required changes will be addressed during negotiations and included as part of the contract.

SECTION 7 BENEFITS

Implementation of the Business Requirements will achieve the following benefits.

#	Description of Benefit	Recipient	How is the Benefit Realized?	How Will the Realization of the Benefit be Assessed/ Measured?	Realization Date (MM/YY)
1	More efficient transactions for client service needs	Client	Faster Decisions regarding service needs	Time to respond to client request	07/14
2	Fraud prevention and service delivery verification	Client Agency	Accurate billing aligned with level of service delivery, reduced fraud and cost savings	Longitudinal comparison of provider claims billing to client service delivery	07/14
3	Ability to track, measure, analyze, and trend service data and client progress to increase program accountability and to ensure maximum number of clients are served within budget appropriation	Client Agency	Number of clients served	Number of clients served and client progress	07/15
4	Provider access to service authorizations promptly	Client Provider Region staff	Reduction of time lapse from date of service approval to service delivery		07/14
5	Ability to track client incidents and follow up needed to address the issue	Client	Analysis and trending of incident reports to implement corrective action needed	Reduction in type of incidents and timeliness of corrective action	07/14

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Charter for CDMS Project

6	Review of Service outcomes through utilization review to ensure client services are meeting the need and to ensure cost containment is maximized	Client	Review of services delivered, client progress made, adjustment of authorized services	Number of services that are reduced over time as client progress is made	07/15
7	Compliance with federal program assures required for waiver federal matching funds	Client Agency	State continues to receive federal matching funds for services under the federal waiver program	Submittal of Evidentiary Reports that are found to be in compliance	07/15
8	Secure maintenance of client central record	Client Agency	Confidential information is stored securely	Number of records stored electronically	07/14
9	Improve accuracy of monitoring of licensed residential facilities and corrective action needed	Client	Licensed facility monitoring data can be analyzed and trended to strengthen quality assurance system	Number of licenses resulting in administrative action	07/15
10	Improved tracking and monitoring of client behavioral and medical interventions to ensure client health and safety is protected	Client	Reporting of medication errors and use of reactive strategies for behavior issues can be tracked, trended and remediated	Number of medication errors and reactive strategies used	07/15
11	Reduce Implementation/ Deployment Time	Agency All Stakeholders	Ability to use the system more quickly	System will be fully implemented within 2 years	07/15
12	Reduce Cost for Operations/ Maintenance	Agency	Cost Savings	Verification in Reduction of Cost Savings	07/15

SECTION 8 PROJECT ASSUMPTIONS & CONSTRAINTS

8.1 Assumptions

Certain assumptions and premises need to be made to identify and estimate the required tasks and timing for the project. Based on the current, the project assumptions are listed below. If an assumption is invalidated at a later date, then the activities and estimates in the project plan will be adjusted accordingly.

- The project is the top IT initiative for the Agency.
- There is commitment from all stakeholders to the project objectives
- There will be coordination and communication between project team and Area office stakeholders
- Project schedule will be strictly adhered to and tasks completed as scheduled, to meet all interim milestones deliverables.
- The APD CIO will provide timely approval for each phase of the project.
- APD IT will secure hardware, software, and contracted services in a timely manner to support the project schedule.
- Agency business and technical subject matter experts will be made available by APD Executive Sponsors to ensure all project milestones are successfully completed on time.
- Area Office and State Office staff as well as representation from the provider community will be involved in user acceptance testing of the pilot system.
- APD IT will prepare web-based user instructions prior statewide rollout.

8.2 Constraints

The following constraints apply to the Client Data Management System Project. As project planning begins and more constraints are identified, they will be added accordingly.

- There is limited budget for this project.

SECTION 9 PROJECT RISKS

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect on the project or the quality of its deliverables. Known risks identified with this project have been included below. A plan will be put into place to minimize or eliminate the impact of each risk to the project. Additional risks will be identified as a vendor is selected and a solution is chosen.

Risk Area	Level (H/M/L)	Risk Plan
1. Funding	High	<ul style="list-style-type: none">• Work with appropriate Stakeholders to ensure funding is available

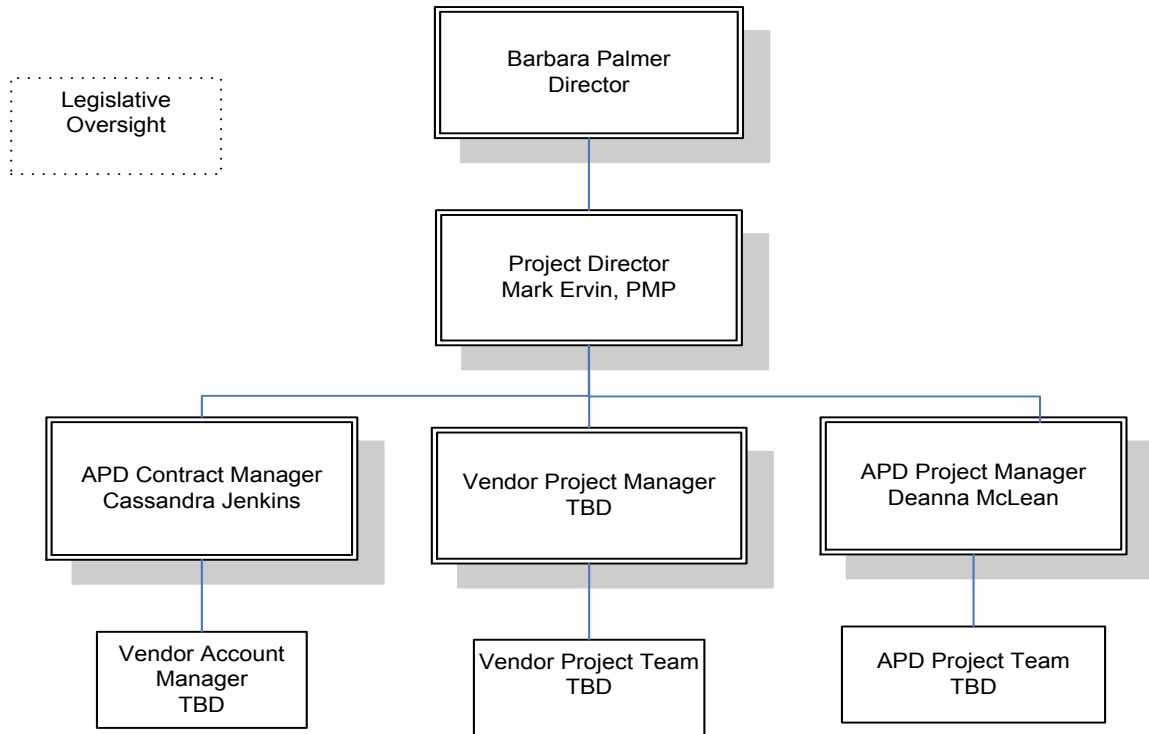
SECTION 10 PROJECT ORGANIZATION

10.1 Roles

An appropriate project organization structure is essential to achieve success. The following list depicts the proposed organization:

Role	Title	Name
Project Executive Sponsor	Director of APD	Barbara Palmer
Project Director	APD Chief Information officer,	Mark Ervin
Contract manager	APD Contract Administrator	Cassandra Jenkins
Vendor Account Manager	TBD	TBD
APD Project Manager	APD CDMS Project Manager	Deanna McLean
Vendor Project Manager	Vendor CDMS Project Manager	TBD
APD Project Team	IT, Programs, Operations	TBD
Vendor Project Team	TBD	TBD

SECTION 11 ORGANIZATION CHART



SECTION 12 COMMUNICATIONS AND STAKEHOLDERS

12.1 Overview

Communications management is a broad area comprised of the processes necessary to ensure effective communication among project stakeholders and project team members. It includes the generation, collection, storage, dissemination, and disposition of project information.

12.2 Purpose

The purpose of this section is to document the formal communication process developed for the Project. This plan defines:

- What needs to be communicated on the project
- Who is responsible for communicating with what audience
- When the communication needs to take place
- How information will be communicated.

The communication process was developed to ensure project stakeholders and team members are informed about the status of project initiatives at all times. However, the existence of a defined process does not confirm effective communications. The project team's execution of the communication processes will be the driver for the successful communication.

This plan provides a framework for project informational exchange within and outside the project. This plan focuses on formal communication elements, though other channels exist on informal levels, and enhance those discussed within this plan. This plan does not limit, but rather enhances communication practices. Open, ongoing communication between stakeholders and team members is vital to the success of the Project.

This communication plan is a key tool for promoting and enhancing organizational transformations toward new business processes. The plan will be updated as necessary throughout the project to reflect new or evolving communication needs (e.g. changes to stakeholders, scheduled meetings, or communication tools). Changes to this plan will be coordinated by the APD Project Manager and approved by the Project Sponsor.

12.3 Scope

This Project communication plan is for internal stakeholders. The scope of this plan includes identifying the stakeholder requirements for each communication type, the frequency of communication, the medium of communication, and the team member or members responsible for the communication.

The target audience for this plan includes:

- All project participants
- Project internal stakeholders

Agency For Persons with Disabilities

Charter for CDMS Project

- Project team members

All other contractors and departmental staff are excluded. The communications strategies and procedures for external stakeholder communications are outside of the scope of this document.

12.4 Roles and Responsibilities

Communication will be an ongoing function within the project and will be directed toward internal APD Agency stakeholder groups and the project team. The project team will work closely with stakeholder groups to ensure that communication needs are met and will adjust according to feedback received. Roles and responsibilities for Project communications are listed below.

Role	Communication Responsibilities
APD Project Sponsor	<ul style="list-style-type: none">▪ Provide input and guidance about stakeholder communications to the Project Director▪ Champion project within the Agency
APD Project Director	<ul style="list-style-type: none">▪ Provide issue resolution and communications input and guidance to the Project Manager
APD & Vendor Project Manager	<ul style="list-style-type: none">▪ Member of the project team, providing input and guidance to the team about Project stakeholder communication needs and strategies▪ Provide official communication to Team Leads for dissemination to the stakeholders
APD Project Team	<ul style="list-style-type: none">▪ Provide input to the Project Manager about Project stakeholder communication needs and strategies
Vendor Project Team	<ul style="list-style-type: none">▪ Members of the project team, providing input and guidance to the team about stakeholder communications needs, strategies, and events▪ Coordinate the collection and dissemination of project information to stakeholder audiences▪ Create weekly status report▪ Provide written status report to weekly status meeting attendees▪ Deliver verbal report during weekly status meetings

Exhibit 1: Project Communication Roles and Responsibilities

12.5 Stakeholder Context

The successful outcome of any Project relies on effective communications to the broad stakeholder population. Elements of effective communication for the project are stakeholder-driven; therefore, the planning process must include identifying all stakeholders. The stakeholder identification and

Agency For Persons with Disabilities

Charter for CDMS Project

analysis determines the most effective types and frequency of information stakeholders require to perform their role and to meet their responsibilities within the project.

12.6 Stakeholder Analysis

The stakeholder analysis consists of a systematic assessment of each of the stakeholder groups to determine:

- Entities and individual participants
- Contact information
- Role in the project
- Project Communication Needs
- Project Impact Assessment
- Special Considerations

Stakeholder involvement throughout the project will provide greater assurance of project success. Effective and timely involvement enables people to understand and take part in change rather than feel it is being imposed on them. This increases speed to adoption of change.

Stakeholders of change, especially large-scale, systemic change, have a need for information about the change. They generally ask the following questions:

- Why is this change necessary?
- Why is this change happening now?
- What is wrong with what we are doing today?
- What will happen if we don't change?

APD will identify stakeholders and conduct a stakeholder analysis to determine communications needs and preferences for each stakeholder group. We will then engage stakeholders in a variety of ways, providing opportunities for them to express their ideas, opinions, and concerns.

Stakeholder	Internal/ External	Stakeholder Description
APD Staff	Internal	Employed by the Agency for Persons with Disabilities
Waiver Support Coordinators	External	Contracted Employee certified to provide Waiver Support to the clients of APD
Providers	External	Active Medicaid Waiver Providers registered through AHCA

Stakeholder	Internal/ External	Stakeholder Description
Governors Office	External	State of Florida, Office of the Governor
Clients	External	Florida citizens who receive HCBS Waiver funding
Legislature	External	State of Florida governing body who approves funding for IT initiatives

Exhibit 2: Stakeholder Management Matrix

12.7 Required Communications

12.7.1 Bi-Weekly Status Reports

The result of weekly status meetings will be a published status report distributed to the project team members and stakeholders. The Vendor PM will create and APD Project Managers will review and distribute the Status Report. The frequency of status submission agreed to between the APD and Vendor PMs during project initiation meetings is bi-weekly.

12.7.2 Status Meetings

The frequency of status meetings will be agreed to between the APD and Vendor project Managers during the first project initiation meeting. The result of these meetings is a published Status Report distributed to the project team members and stakeholders. Meeting attendees will be notified of changes to the time or location of these meetings via email and/or phone as far in advance as possible.

12.7.3 Meeting Agendas

No less than 24-hours prior to a scheduled workshop or meeting, the facilitator of that meeting will provide the meeting agenda to the scheduled attendees. Circumstances will arise where a meeting is scheduled and held in less than 24-hours. In this case, the meeting facilitator is expected to distribute an agenda when practicably feasible. It is expected the attendees of the meeting will review the agenda and any other documentation distributed prior to the meeting. Each agenda will include an action item section that will be reviewed during the meeting. Action items assigned during the meeting will be documented and distributed to the team in the meeting minutes.

12.7.4 Additional Communication

In addition to the regularly scheduled meetings noted above, occasionally written communication will be sent out by the project management team on an as needed basis. This communication will be specific in nature and may be broadcast to the general project population or to target audiences depending upon the circumstances involved.

12.8 Communication Distribution

The subject matter of this plan is primarily internal (APD & Vendor) communication. The general flow of the documents will be out-going from the Project Management Team to the target audience.

Communication Type	Stakeholders	Medium	Frequency	Reporting Member
Status Report	Project Director	Email	Bi-Weekly	Vendor Project Manager
Status Meeting	Project Director	Face-to-Face	Weekly	APD & Vendor Project Manager
Meeting Agendas	As needed	Email	As needed	Project Team

Exhibit 3: Project Communication Roles and Responsibilities

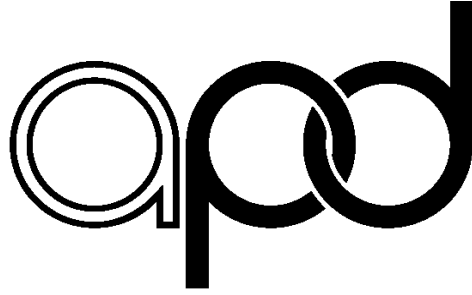
SECTION 13 PROJECT CHARTER APPROVALS

The signatures of the people below indicate an understanding in the purpose and content of this document by those signing it. By signing this document you indicate that you approve of the proposed project outlined in this business case and that the next steps may be taken to create a formal project in accordance with the details outlined herein.

_____ Barbara Palmer, APD Director	_____ Date
_____ Michael Ayers, Chief of Staff	_____ Date
_____ Denise Arnold, Deputy Director of Programs	_____ Date
_____ Sharon Bradford, Deputy Director of Budget & Finance	_____ Date
_____ Mark Ervin, CIO	_____ Date
_____ Cassandra Jenkins, CDMS Project Contract Manager	_____ Date
_____ Deanna McLean, CDMS Project Manager	_____ Date

Implementation Plan

Plan Steps	Fiscal Year 2014 - 2015												Fiscal Year 2015-2016												Fiscal Year 2016-2017															
	Quarter 1			Quarter 2			Quarter 3			Quarter 4			Quarter 1			Quarter 2			Quarter 3			Quarter 4			Quarter 1		Quarter 2													
	Jul 2013	Aug 2013	Sep 2013	Oct 2013	Nov 2013	Dec 2013	Jan 2014	Feb 2014	Mar 2014	Apr 2014	May 2014	Jun 2014	Jul 2014	Aug 2014	Sep 2014	Oct 2014	Nov 2014	Dec 2014	Jan 2015	Feb 2015	Mar 2015	Apr 2015	May 2015	Jun 2015	Jul 2015	Aug 2015	Sep 2015	Oct 2015	Nov 2015	Dec 2015										
Planning, Procurement and Contract	█	█	█	█	█	█																																		
Kick Off Meetings, Design Requirements							█	█	█																															
Initial Setup and On-site Training - Regions 1, 2, 3													█	█	█																									
Initial Interface															█	█	█																							
Initial Setup and On-Site Training - Regions 4, 5, 6																	█	█	█																					
Provider Score Card																																								
Add Health, Implementation Plans, Tracking																																								
Replace iBudget																																								
Add Billing and Claims																																								
Replace ABC																																								
Ongoing Enhancements																																								



agency for persons with disabilities
State of Florida

**Legislative Budget Request
Fiscal Year 2014-15**

Developmental Disabilities Public Facilities

67100300

Budget Entity 67100300

Developmental Disabilities Public Facilities

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	67100300
	2021

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(178,425)	(A)			(178,425)
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: Transfer from Budget Entity 67100100	66,254	(E)			66,254
ADD: Transfer from Budget Entity 67100200	112,171	(F)			112,171
Total Cash plus Accounts Receivable	0	(G)	0		0
LESS Allowances for Uncollectibles		(H)			0
LESS Approved "A" Certified Forwards		(I)			0
Approved "B" Certified Forwards		(I)			0
Approved "FCO" Certified Forwards		(I)			0
LESS: Other Accounts Payable (Nonoperating)		(J)			0
LESS: _____		(K)			0
Unreserved Fund Balance, 07/01/13	0	(L)	0		0 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: Agency for Persons with Disabilities
Trust Fund Title: Administrative Trust Fund
Budget Entity: 67100300
LAS/PBS Fund Number: 2021

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
 Total all GLC's 5XXXX for governmental funds; (178,425) (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "E" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

Transfer from Budget Entity 67100100 66,254 (D)

Transfer from Budget Entity 67100200 112,171 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (0) (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 0 (F)

DIFFERENCE: (0) (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	67100300
	2261

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	8,068	(A)		8,068
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable	0	(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	8,068	(F)	0	8,068
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	0	(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: Transfer to Budget Entity 67100100	3,784	(J)		3,784
LESS: Transfer to Budget Entity 67100200	4,284	(K)		4,284
Unreserved Fund Balance, 07/01/13	0	(L)	0	3,784 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title:	Agency for Persons with Disabilities
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	67100300
LAS/PBS Fund Number:	2261

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	8,068 (A)
GLC 539XX for proprietary and fiduciary funds	

Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
---	-----

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description	(C)
-----------------------------------	-----

SWFS Adjustment # and Description	(C)
-----------------------------------	-----

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
---	-----

Approved "E" Carry Forward Total (FCO) per LAS/PBS	(D)
--	-----

A/P not C/F-Operating Categories	(D)
----------------------------------	-----

Transfer to Budget Entity 67100100	(3,784) (D)
------------------------------------	-------------

Transfer to Budget Entity 67100200	(4,284) (D)
------------------------------------	-------------

	(D)
--	-----

ADJUSTED BEGINNING TRIAL BALANCE:	0 (E)
--	-------

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	0 (F)
--	-------

DIFFERENCE:	0 (G)*
--------------------	--------

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 67-Agency for Persons with Disabilities **Budget Period:** **2012 -13**
Program: 67100300 - DDPF - PC 1303000000
Fund: 2516

Specific Authority: Chapter 393, Florida Statutes
Purpose of Fees Collected: Client Services and Care at Institutions

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

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

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
Reimbursement of Client Custodial Care	5,082,468	5,134,630	5,134,630
AHCA Transfers for Client Care	47,822,463	48,506,760	49,525,209

Total Fee Collection to Line (A) - Section III	52,904,931	53,641,390	54,659,839

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	40,152,048	46,557,077	47,612,022
Other Personal Services	898,074	962,071	962,071
Expenses	3,361,717	3,157,618	3,157,618
Operating Capital Outlay	94,703	96,322	96,322
Food Products	1,187,639	1,262,170	1,262,170
Contracted Services	848,740	871,213	871,213
G/A - Contracted Professional Services	1,797,941	3,054,227	3,054,227
Risk Management Insurance	2,629,672	2,528,063	2,175,625
TR/DMS/HR SVCS/STW Contract	431,400	416,085	416,085
Indirect Costs Charged to Trust Fund	-		
Total Full Costs to Line (B) - Section III	51,401,934	58,904,846	59,607,353

Basis Used: _____

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	52,904,931	54,659,839
TOTAL SECTION II	(B)	51,401,934	59,607,353
TOTAL - Surplus/Defici	(C)	1,502,997	(4,947,514)

EXPLANATION of LINE C:
Expenditures will be limited to revenues received and fiscal year fund balances. A monthly status report is completed to ensure expenditures remain within earned revenues.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	Agency for Persons with Disabilities
Budget Entity:	Operations and Maintenance Trust Fund
LAS/PBS Fund Number:	67100300
	2516

	Balance as of 6/30/2013		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,945,411	(A)		3,945,411
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable	4,265,289	(D)		4,265,289
ADD: Accounts Receivable in C/F		(E)		0
Total Cash plus Accounts Receivable	8,210,700	(F)	0	8,210,700
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	1,531,601	(H)		1,531,601
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards	147,165	(H)		147,165
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
Unreserved Fund Balance, 07/01/13	6,531,934	(K)	0	6,531,934 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: Agency for Persons with Disabilities
Trust Fund Title: Operations and Maintenance Trust Fund
Budget Entity: 67100300
LAS/PBS Fund Number: 2516

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	<input type="text" value="72,377,744"/> (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	<input type="text"/> (B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	<input type="text"/> (C)
SWFS Adjustment # and Description	<input type="text"/> (C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text"/> (D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	<input type="text" value="(147,165)"/> (D)
A/R deducted from C/F-Operating Categories	<input type="text" value="229"/> (D)
GL 15100 A/R Adjustment	<input type="text" value="(3,804,147)"/> (D)
GL 16400 Due from Other Departments Adjustment	<input type="text" value="3,104,943"/> (D)
Understatement G/L 17700 - Overhead Applied	<input type="text" value="330"/> (D)
Prior Year Transfer to Budget Entity 67100100	<input type="text" value="(65,000,000)"/> (D)
ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="6,531,934"/> (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	<input type="text" value="6,531,934"/> (F)
DIFFERENCE:	<input type="text" value="0"/> (G)*

***SHOULD EQUAL ZERO.**

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service): Agency for Persons with Disabilities

Agency Budget Officer/OPB Analyst Name: Sharon Bradford/Casey Perkins

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)		
	67100100	67100200	67100300

I. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y

AUDITS:			
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y	Y	Y

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.			
--	--	--	--

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	Y

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y
---	---	---	---

AUDITS:			
3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y

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)

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service): Agency for Persons with Disabilities

Agency Budget Officer/OPB Analyst Name: Sharon Bradford/Casey Perkins

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Action	Program or Service (Budget Entity Codes)		
	67100100	67100200	67100300
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.			
5. EXHIBIT D-1 (ED1R, EXD1)			
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y
AUDITS:			
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y
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 2012-13 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 to be submitted 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)			
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y

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Action	Program or Service (Budget Entity Codes)		
	67100100	67100200	67100300
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/J Consensus Estimating Conference forecast does not apply	N/J Consensus Estimating Conference forecast does not apply	N/J Consensus Estimating Conference forecast does not apply
7.9 Does the issue narrative reference the specific county(ies) where applicable?	N/J No individual counties identified	N/J No individual counties identified	N/J No individual counties identified
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 #13-003?	Y	Y	Y
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/J No Issues	N/J No Issues	N/J No Issues
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXX and 260XXX0 issues as required for lump sum distributions?	N/J No Lump Sum	N/J No Lump Sum	N/J No Lump Sum
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y
7.16 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 28 and 88 of the LBR Instructions.)	N/J No Issues	N/J No Issues	N/J No Issues
7.17 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	Y	Y
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/J No Issues	N/J No Issues	N/J No Issues
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Y	Y	Y
AUDIT:			
7.20 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y
7.21 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	Y	Y
7.22 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Y	Y	Y
7.23 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y

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7.24 Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)))	Y	Y	Y
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 66 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 2013-14 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.			
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)			
8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	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	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A
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	N/A	N/A
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y

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Action	Program or Service (Budget Entity Codes)		
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8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y
8.27 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y
AUDITS:			
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y
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? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y	Y	Y
8.31 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y	Y	Y
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!			

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	Program or Service (Budget Entity Codes)		
Action	67100100	67100200	67100300
TIP Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.			
TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.			
TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.			
9. SCHEDULE II (PSCR, SC2)			
AUDIT:			
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)			
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Y	Y	Y
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)			
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.			
12. SCHEDULE VIII A (EADR, SC8A)			
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can now be included in the priority listing.	Y	Y	Y
13. SCHEDULE VIII B-1 (EADR, S8B1)			
13.1 NOT REQUIRED FOR THIS YEAR			
14. SCHEDULE VIII B-2 (EADR, S8B2)			
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Y	Y	Y
15. SCHEDULE VIII C (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)			
15.1 Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y
15.2 Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Y	Y	Y
15.3 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	Y	Y	Y
15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	Y	Y	Y
15.5 Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Y	Y	Y
AUDIT:			
15.6 Do the issues net to zero at the department level? (GENR, LBR5)	Y	Y	Y
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)			

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16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:			
16.3 Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y	Y	Y
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.			
17. MANUALLY PREPARED EXHIBITS & SCHEDULES			
17.1 Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y
17.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y
AUDITS - GENERAL INFORMATION			
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.			
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.			
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)			
18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y
18.5 Are the appropriate counties identified in the narrative?	Y	Y	Y
18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y
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.			

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19. FLORIDA FISCAL PORTAL			
19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y