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FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

COMMISSIONER ADAM H. PUTNAM

LEGISLATIVE BUDGET REQUEST

September 15, 2015

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

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

Cindy Kynoch, Staff Director
Senate Appropriations Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, the Legislative Budget Request for the Florida Department of Agriculture and Consumer Services (FDACS) 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 2016-17 Fiscal Year.

This proposal reflects the department's commitment to foster continued growth and ensure the long-term sustainability of Florida's $120 billion agriculture industry, as well as serve as a good steward of the state's natural resources, help ensure the safety and wholesomeness of food and protect consumers from fraud and deceptive business practices.

This proposal also reflects my commitment to take on one of Florida's greatest long-term challenges: ensuring we have a healthy and abundant supply of water to meet our future needs. Water is an important part of Florida's identity. It's one of the many reasons that nearly 100 million people visit Florida every year. It's an essential resource for the businesses that drive our economy. And it's critical to Floridians' health and quality of life.

But the health of Florida's lakes, rivers, and streams is at risk. Our supply is dwindling. Water supply plans developed by the Water Management Districts, in cooperation with the Florida Department of Environmental Protection (DEP) and FDACS, indicate we will face a shortfall of 1.3 billion gallons of water per day by 2030.

We have made great progress in water conservation and the restoration of water resources over the last four decades. Florida's agriculture industry, for example, has adopted technologies and practices that use water more efficiently. As a result, this industry saves more than 11 billion gallons of water per year. Not just agriculture, but all sectors of water users are making strides to be more efficient. As a result, per capita water use is lower than it has even been and continues to decrease statewide. We have also made measurable improvements to the quality of water in Tampa Bay, Sarasota Bay, the Everglades, Florida Bay, Biscayne Bay and the Lower St. Johns, to name a few. With the adoption of numeric nutrient criteria and the establishment of total maximum daily loads (TMDLs) for impaired water bodies, we are pursuing the development and implementation of Basin Management Action Plans (BMAPs) as the most collaborative and effective means to restore impaired water bodies, including our Florida springs. Still, we have more work to do to ensure we have a healthy and abundant supply to meet our future demands.

My water-related budget proposals will build on our recent success to continue restoring the health of our water and save even more water for future generations to enjoy. I've requested $15 million to support restoration projects around Lake Okeechobee, including water retention and nutrient reduction efforts surrounding Lake Okeechobee, St. Lucie River and Caloosahatchee River watersheds. My request also includes $7 million for the development and implementation of Agricultural Best Management Practices (BMPs) statewide, including Florida's spring shed areas and the Northern Everglades and Estuaries Protection Program Area. This project aims at increasing acreage of agricultural lands implementing best management practices to reduce their impact on the environment. In addition, my request includes $1.5 million for agricultural water supply planning, $1.4 million for partnership agreements with water management districts and soil and water conservation districts and $900,000 for 8 new positions within the Office of Agricultural Water Policy to increase on farm technical assistance and BMP compliance monitoring.

Maintaining Florida's landscape for future generations is also a top priority of mine. As our state continues to grow, attracting more businesses, more residents and more visitors, Florida's rural lands are at risk of commercial development. Through Florida's Rural and Family Lands Protection Program, we've protected nearly 10,000 acres from development since 2010, roughly the size of 61 Florida state parks combined. My budget proposal requests an additional $25 million to invest in the Rural and Family Lands Protection Program to protect more environmentally valuable lands in perpetuity. The conservation easements supported by the Rural and Family Lands Protection Program not only prevent development and preserve Florida's landscape, but they also protect natural resources, provide critical wildlife habitat and allow agricultural operations to continue to support the economy.

My budget proposal also includes funding to protect Florida agriculture from threats to plant and animal health. Florida's $10 billion citrus industry faces an existential threat in citrus greening. This bacterial disease, which has impacted all of Florida's commercial groves, destroys the shape

and taste of the fruit, and eventually kills the tree. The toll of citrus greening on Florida's signature crop is evident as this year's harvest was half of what it was just two decades ago. In partnership with the U.S. Department of Agriculture and the Citrus Research Development Foundation, we continue to aggressively pursue a treatment and a cure. My budget proposal requests $18.7 million to support our efforts to prevent the further devastation of Florida citrus.

Animal health, too, is at risk with the recent spread of Avian Influenza through the West and Midwest of the United States. While we have not yet detected Avian Influenza in Florida, we must do everything we can to prepare for this or any other threat to Florida's animals. Florida's poultry industry is a $400 million industry with approximately 20 million commercial birds. The department's Bronson Animal Disease Detection Laboratory is the only accredited laboratory in the entire state of Florida that can accommodate the testing and research required to respond to such a crisis. Unfortunately, this laboratory is in need of repair, and the technology is outdated. My budget proposal request includes $10.3 million to bring this critical facility back up to standard and ensure we are prepared to respond appropriately to any animal threat that crosses our borders.

You'll recognize that my budget proposal once again includes a pay raise for Florida's wildland firefighters and fire support personnel. These hardworking men and women, who risk their lives to keep our residents, homes and businesses safe, deserve far more than they are currently paid—the starting pay for a Forest Ranger who is on the front lines of a fire is $24,580. We were reminded this year just how dangerous the job of fighting wildfires can be with the loss of three firefighters in Washington and one firefighter in California. In 2013, 19 firefighters lost their lives in Arizona, and in 2011, two of our very own Florida firefighters were killed while protecting others. There is no way we can properly pay the men and women who work to protect the rest of us, but we can and should increase their pay. I implore you to support their service and sacrifice with this request.

Should you have any questions about my budget proposals, please don't hesitate to call me directly at (850) 617-7700. Each budget proposal submitted as part of this request has been fully vetted by staff and carefully considered by me. I recognize that the state budget is funded by the taxpayers of Florida, and, as such, we must be judicious in our use of these valuable resources and use them to provide valuable services to the state of Florida. I'm confident that my requests accomplish that in a thoughtful, efficient and effective manner.

Thank you for your consideration.

Sincerely,

Adam H. Putnam
Commissioner of Agriculture

Temporary Special Duty – General Pay Additives Implementation Plan for FY 2016-2017

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. Pay additives are a valuable management tool which allows agencies to recognize and compensate employees for identified duties without providing a permanent pay increase. The Department of Agriculture and Consumer Services is requesting approval to implement temporary special duties—general as described below. The agency is not requesting any additional rate or appropriations for these additives.

Temporary Special Duties—General

Description: These temporary pay increases are used in a variety of circumstances such as:

- An employee performing additional duties of a higher level position when the other position is vacant for any reason other than absent coworker due to Family Medical Leave Act (FMLA) or military leave.
- An employee performing additional duties of a higher level position whose incumbent has been temporarily assigned other duties.
- An employee who meets the criteria for out of title work under the AFSCME collective bargaining agreement or acting ranks under the PBA contract.
- An employee continuing to perform additional duties of an absent coworker when the coworker has exhausted FMLA leave but has not yet returned to work.
- An employee performing additional duties of a coworker who is absent in accordance with s. 60L-34.0051, F.A.C., Family Supportive Work Program, of the Department of Management Services Personnel Rules, that does not meet the FMLA or military leave criteria.
- An employee performing additional duties of a significant nature and time regarding a special project or special assignment not normally assigned to the employee.

Justification:

As we are not able to always anticipate when a position will become vacant, there may be project deadlines or daily work activities (inspections, payroll processing, license issuance, etc.) that must be met and fulfilled. If it is not feasible for these duties to go undone while the recruitment and selection process is being performed, it will be necessary to assign these duties to another employee until the position is filled. We also may have special projects or special assignments of a temporary nature that may necessitate the use of additional staff to perform duties not normally assigned to their position.

Effective date of additive:

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 the AFSCME contract or the PBA agreement, the additive must be effective no later than the 23rd day if the employee has been assigned duties of a higher level position for a period of more than 22 workdays within any six consecutive months.

Length of time additive will be used:

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 no longer than 90 days without agency review to decide if it should be sent to the Department of Management Services for an extension.

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).

Classes/Positions affected:

Any Career Service classification could be affected by the provisions of this plan so it is not possible to predict exactly which temporary special duty additives will occur in FY 16/17. However, there were eight temporary special duty additives (not including those for absent coworker for military/FMLA leave purposes) that were provided during the FY 14/15.

Historical data:

The provision for a temporary special duty additive has been in effect for many years dating back in the statutes to at least the year 1997. The number of persons for this type of additive for the prior fiscal year is shown in the paragraph above.

Estimated annual cost:

The last fiscal year's annual cost for temporary special duty additives (not including those for absent coworker for military/FMLA leave purposes) was $5,868.79.

Collective Bargaining Units impacted:

AFSCME-Article 21-Compensation For Temporary Special Duty In A Higher Position

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

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

PBA-Law Enforcement Unit-Article 21-Acting Ranks

Section 1-Eligibility
Each time an employee is officially designated by the appropriate supervisor to act in a higher broadband level than the employee's permanent broadband level, and actually performs said duties for a period of more than twenty-two (22) workdays, within any six (6) consecutive months, the employee shall be eligible for a promotional pay increase to the higher broadband level as provided in the Rules of the State Personnel System.

Section 2-Method of Compensation
It is understood by the parties that, insofar as pay is concerned, employees temporarily filling a position in a higher broadband level shall be paid according to the same compensation method as permanent promotees under the Rules of the State Personnel System.

Section 3-Return to Regular Rate
Employees being paid at a higher rate while temporarily filling a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary employment in the higher broadband level is ended.

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DEPARTMENT LEVEL EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

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:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Pompano Beach, et al. v. FDACS (a/k/a In re Citrus Canker Litigation, Cox and Bogorff)
Court with Jurisdiction:	Broward County Circuit Court
Case Number:	00-18394
Summary of the Complaint:	Lawsuit for damages for removal of canker-exposed citrus trees in Broward County under theories of inverse condemnation and statutory liability.
Amount of the Claim:	See "Status of the Case."
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 581.1845.
Status of the Case:	Court certified class of Broward homeowners who lost canker-exposed citrus trees. Final judgment for $8,043,501 was entered against the Department. The judgment was affirmed by the Fourth District Court of Appeal. The Fourth District has upheld the validity and applicability of the statute requiring the plaintiffs to proceed by way of a legislative claim bill to collect on their judgment. Plaintiffs were also awarded attorneys' fees and costs in the amount of $4,133,083. Interest at the statutory rate is running on the judgments. Plaintiffs' recent motion to determine that the claim bill statute is unconstitutional was denied, and plaintiffs have appealed to the Fourth District.

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Grossman Roth, P.A. Weiss, Serota et al. Lytal Reiter, P.A. Berman Devalerio P.A. Rubin & Barrar Bruce S. Rogow, P.A.

Schedule VII: Agency Litigation Inventory

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Pompano Beach, et al. v. FDACS (a/k/a In re Citrus Canker Litigation and Brignoni) (transferred to Miami-Dade County Circuit Court) Martinez v. FDACS (a/k/a Grove Services)
Court with Jurisdiction:	Miami-Dade County Circuit Court
Case Number:	Pompano Beach: 02-24436 Miami-Dade: 03-8255 Martinez: 03-30110
Summary of the Complaint:	Lawsuits for damages for removal of canker-exposed citrus trees in Miami-Dade County under theories of inverse condemnation and statutory liability. Pompano Beach and Miami-Dade cover residential trees removed after January 1, 2000, and Martinez covers other residential trees, and commercial trees.
Amount of the Claim:	Unliquidated, but likely more than $100 million, plus interest, costs, and attorneys' fees.
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 581.1845.
Status of the Case:	Certification of a class in Pompano Beach and Miami-Dade was granted in the trial court, and was affirmed en banc in a split decision by the Third District. A liability trial in the circuit court has not yet been scheduled. Plaintiffs have moved for summary judgment to dispense with the liability trial. In Martinez, the Third District has affirmed the denial of certification of a class action.

Who is representing (of record) the state in this lawsuit? Check all that apply.		
		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Grossman Roth, P.A. Weiss, Serota et al., P.A. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A. Law Offices of Malcolm Misuraca Nelson & Franklin, PLLC Wasson & Associates

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Mendez v. FDACS
Court with Jurisdiction:	Palm Beach County Circuit Court
Case Number:	02-13717 AJ
Summary of the Complaint:	Lawsuit for damages for removal of canker-exposed citrus trees in Palm Beach County under theories of inverse condemnation and statutory liability.
Amount of the Claim:	See "Status of the Case."
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 581.1845.
Status of the Case:	Court certified class of Palm Beach County homeowners who lost canker-exposed citrus trees. Final judgment for $23,653,375 was entered against the Department, which has appealed the final judgment to the Fourth District. Interest at the statutory rate is running on the judgment. The Fourth District has upheld the validity and applicability of the statute requiring the plaintiffs to proceed by way of a legislative claim bill to collect on their judgment. Attorneys' fees and costs will also be assessed.

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Grossman Roth, P.A. Weiss, Serota et al. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A.	

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Dellaselva v. FDACS
Court with Jurisdiction:	Lee County Circuit Court
Case Number:	03-1947
Summary of the Complaint:	Lawsuit for damages for removal of canker-exposed citrus trees in Lee County under theories of inverse condemnation and statutory liability.
Amount of the Claim:	See "Status of the Case."
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 581.1845.
Status of the Case:	Court certified class of Lee County homeowners who lost canker-exposed trees, and certification was affirmed by Second District Court of Appeal. Liability was found against the Department. A final judgment was entered in the amount of $13,625,249 against the Department, which has appealed the judgment to the Second District. The court also awarded attorneys' fees and costs against the Department in the amount of $821,993. Interest at the statutory rate is running on the judgments.

Who is representing (of record) the state in this lawsuit? Check all that apply.		
		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Grossman Roth, P.A. Weiss, Serota et al. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A.

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Ayers v. FDACS
Court with Jurisdiction:	Orange County Circuit Court
Case Number:	05 CA 4120 #37
Summary of the Complaint:	Lawsuit for damages for removal of canker-exposed citrus trees in Orange County under theories of inverse condemnation and statutory liability.
Amount of the Claim:	See "Status of the Case."
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 581.1845.
Status of the Case:	Court certified class of Orange County homeowners who lost canker-exposed trees, and certification was affirmed by Fifth District Court of Appeal. Liability was found against FDACS. A final judgment in the amount in the amount of $31,534,721 was entered against the Department, which has appealed to the Fifth District. Interest at the statutory rate is running on the judgment. Attorneys' fees and costs will also be assessed.

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Grossman Roth, P.A. Weiss, Serota, Helfman, Pastoriza & Guedes, P.A. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A.	

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Patchen v. FDACS	
Court with Jurisdiction:	Miami-Dade County Circuit Court	
Case Number:	00-29271	
Summary of the Complaint:	Lawsuit for damages for removal of canker-exposed citrus trees belonging to Mr. and Mrs. Patchen under theory of inverse condemnation.	
Amount of the Claim:	Unliquidated, but estimated at thousands of dollars, plus interest, costs, and attorneys' fees	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 581.1845.	
Status of the Case:	Summary judgment against the Patchens was reversed by Florida Supreme Court. Further proceedings will be held in trial court to determine compensation due plaintiffs, if any. No trial is currently scheduled. This case is not a class action.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

Schedule VII: Agency Litigation Inventory

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Dooley Groves v. FDACS
Court with Jurisdiction:	Hillsborough County Circuit Court
Case Number:	09-12839
Summary of the Complaint:	Lawsuit for damages for destroyed commercial citrus.
Amount of the Claim:	Approximately $1 million, plus interest, costs, and attorneys' fees.
Specific Statutes or Laws (including GAA) Challenged:	N/A
Status of the Case:	Plaintiffs' motion for summary judgment of liability was granted. A damages trial has not been scheduled. This is not a class action.
Who is representing (of record) the state in this lawsuit? Check all that apply.	☐ Agency Counsel ☐ Office of the Attorney General or Division of Risk Management ■ Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A

Schedule VII: Agency Litigation Inventory

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Agency:	Florida Department of Agriculture and Consumer Services		
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Gary Mahon v. FDACS
Court with Jurisdiction:	Orange County Circuit Court
Case Number:	08-CA-30736
Summary of the Complaint:	Lawsuit for damages for alleged destruction of nursery citrus.
Amount of the Claim:	Approximately $3.4 million, plus interest, costs, and attorneys' fees.
Specific Statutes or Laws (including GAA) Challenged:	N/A
Status of the Case:	The trial court dismissed some counts of the complaint and denied dismissal of some counts. A liability trial is scheduled for March 2015. This case is not a class action.
Who is representing (of record) the state in this lawsuit? Check all that apply.	☐ Agency Counsel ☐ Office of the Attorney General or Division of Risk Management ■ Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A

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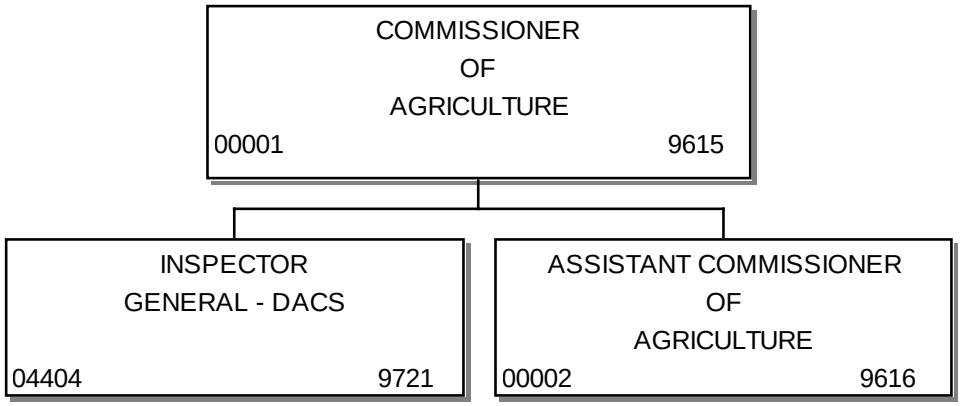
Contact Person:	Wesley R. Parsons	Phone Number:	305-347-3123

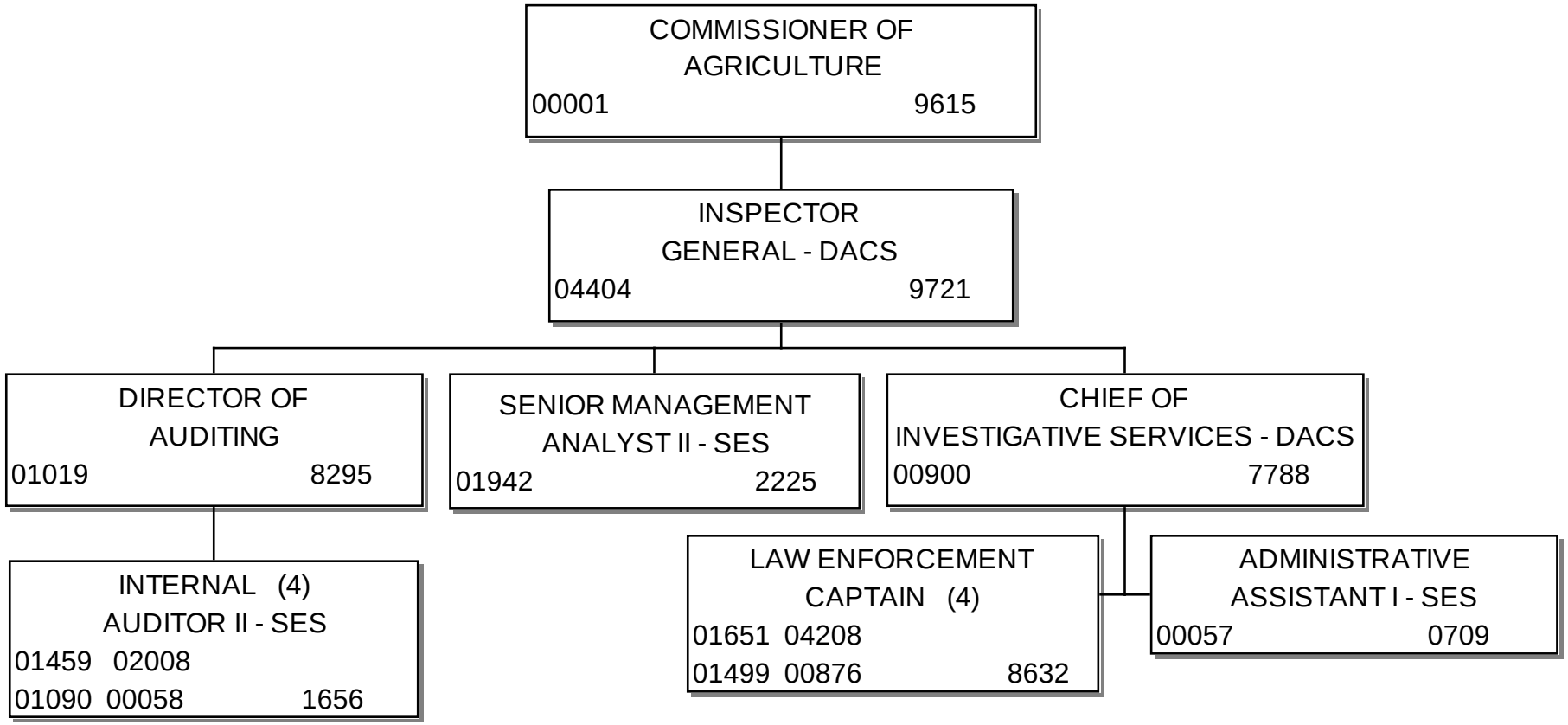
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	John & Shelby Mahon v. FDACS	
Court with Jurisdiction:	Lake County Circuit Court	
Case Number:	11 CA 3036A	
Summary of the Complaint:	Lawsuit for damages for alleged destruction of nursery citrus.	
Amount of the Claim:	Several million dollars, plus interest, costs, and attorneys' fees.	
Specific Statutes or Laws (including GAA) Challenged:	N/A	
Status of the Case:	No trial is scheduled. This case is not a class action.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
		Office of the Attorney General or Division of Risk Management
	■	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES COMMISSIONER'S OFFICE



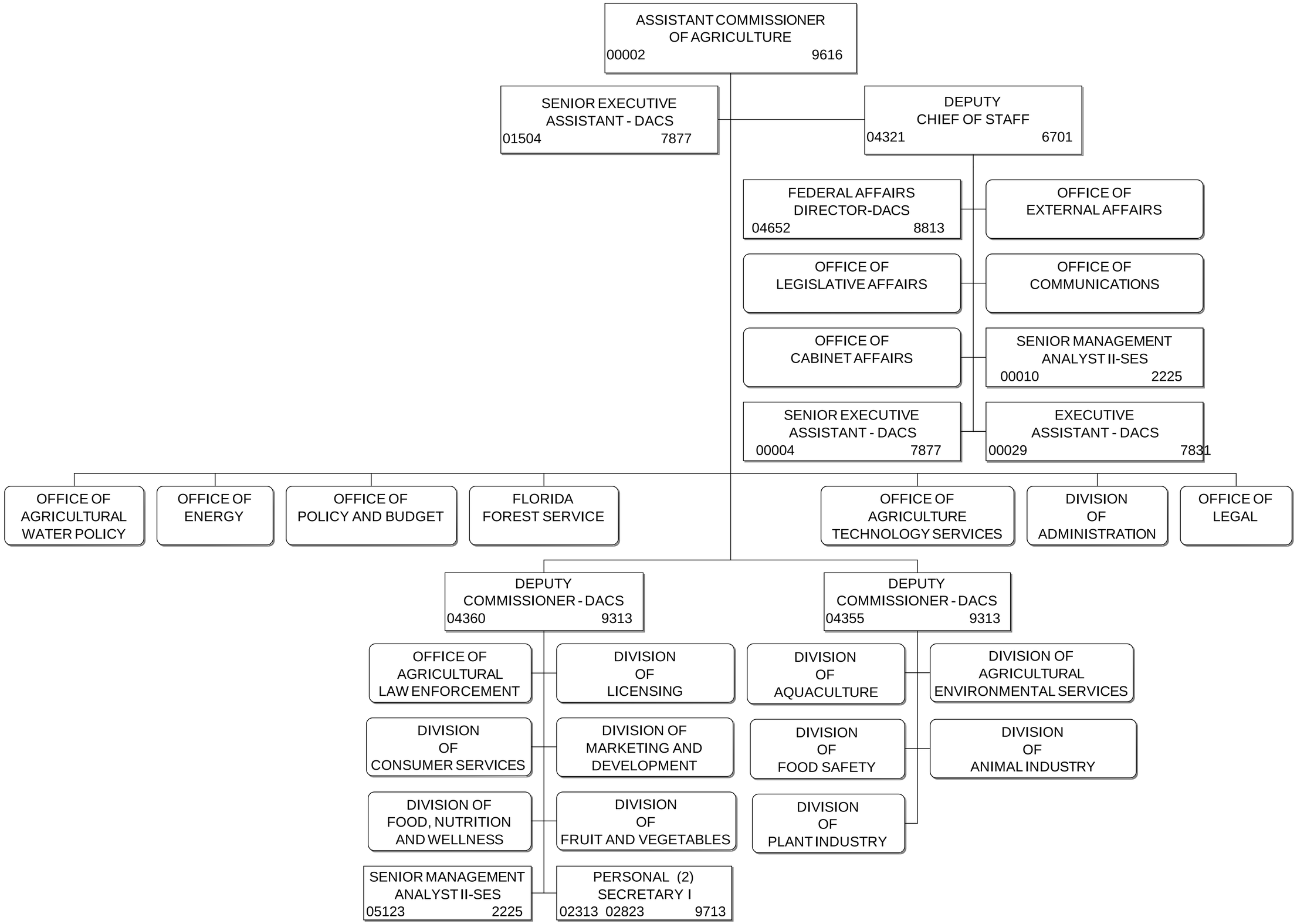
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 4/11/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERV ICES
COMMISSIONER'S OFFICE



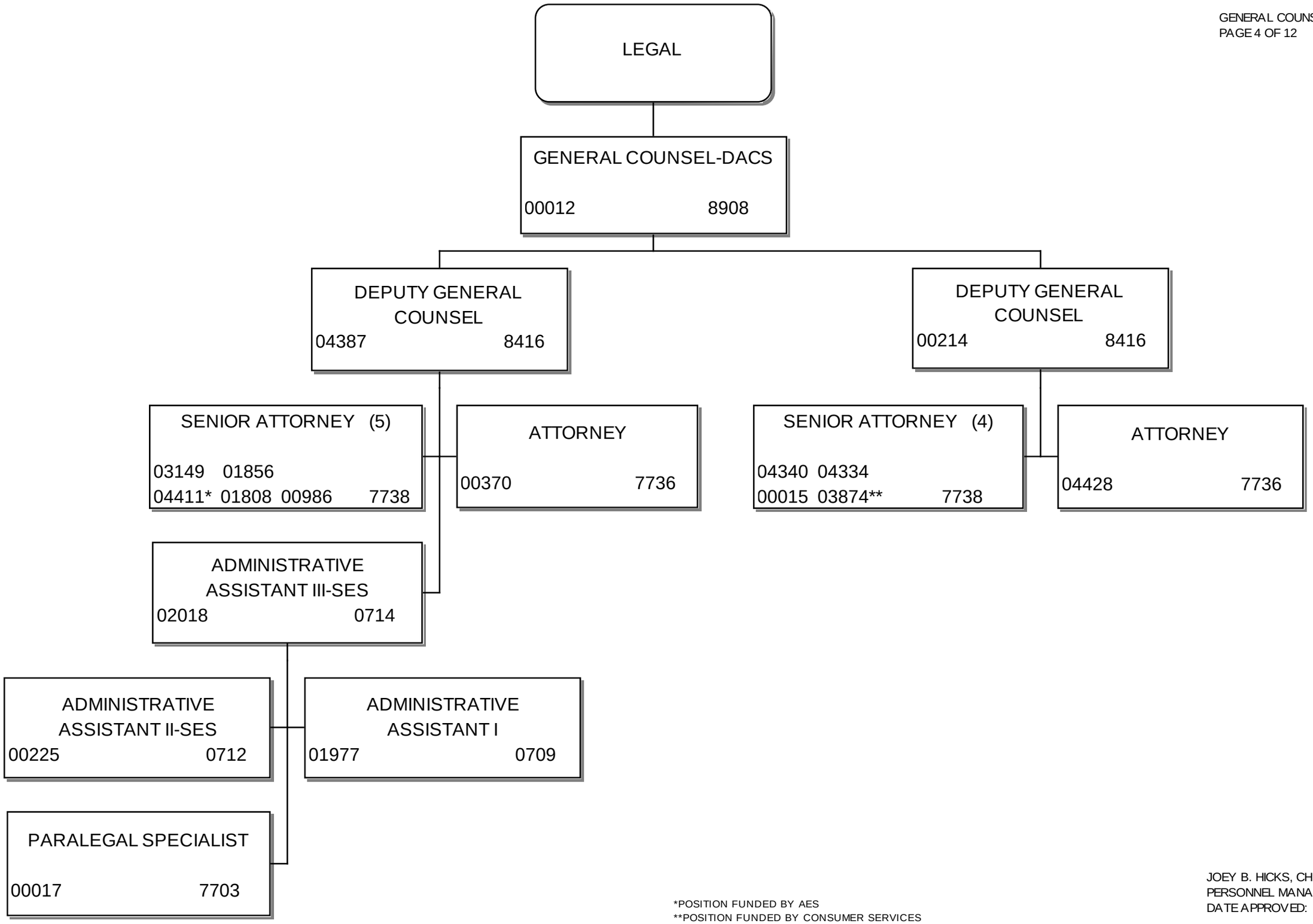
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 1/6/2014

FLORIDA DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 4/10/2015

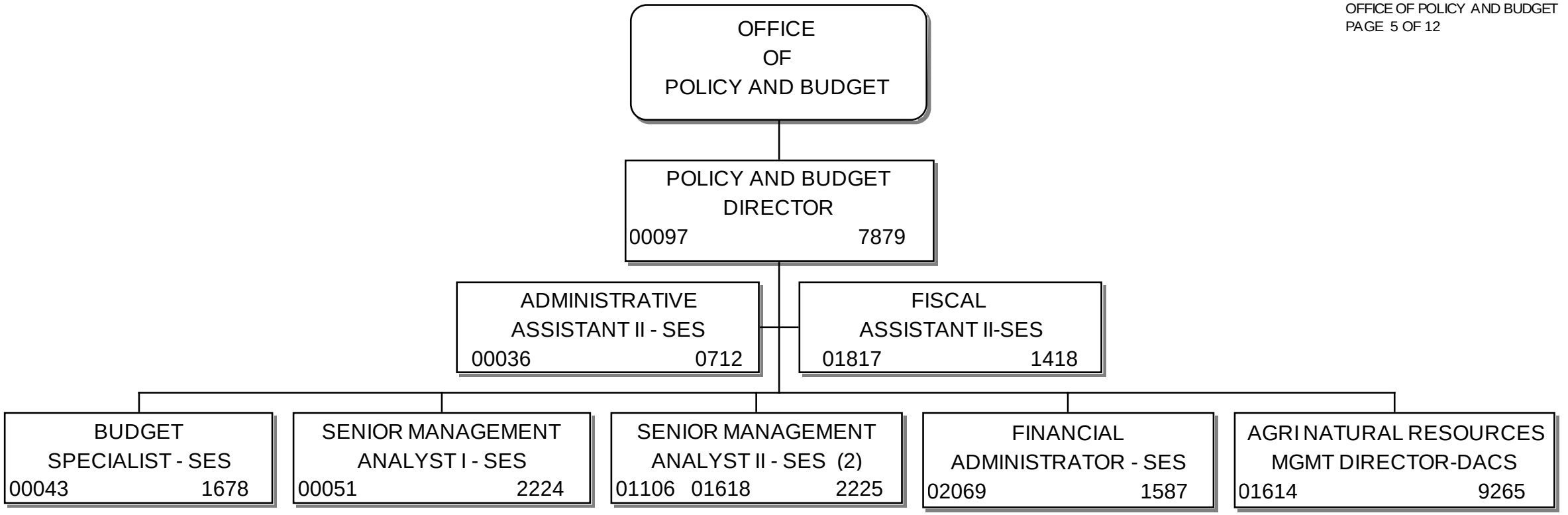
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



*POSITION FUNDED BY AES
**POSITION FUNDED BY CONSUMER SERVICES

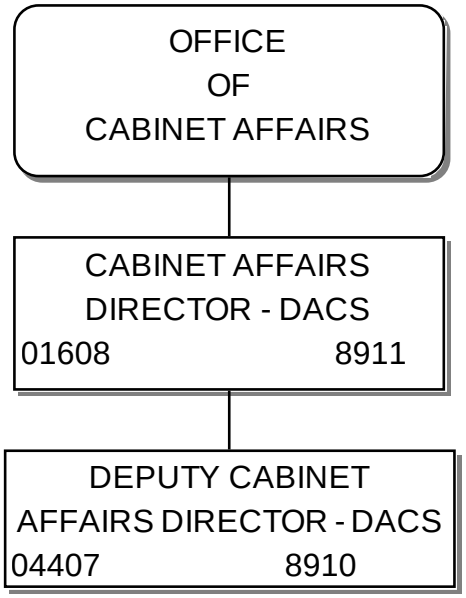
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 5/8/2015

FLORIDA DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



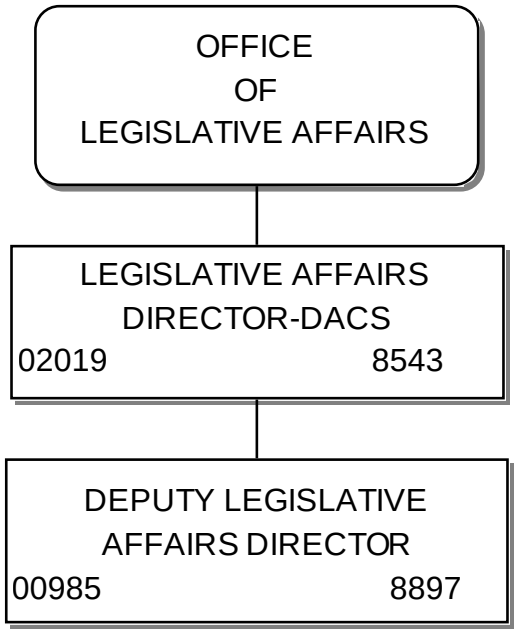
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGMENT
DATE APPROVED: 4/24/2015

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES COMMISSIONER'S OFFICE



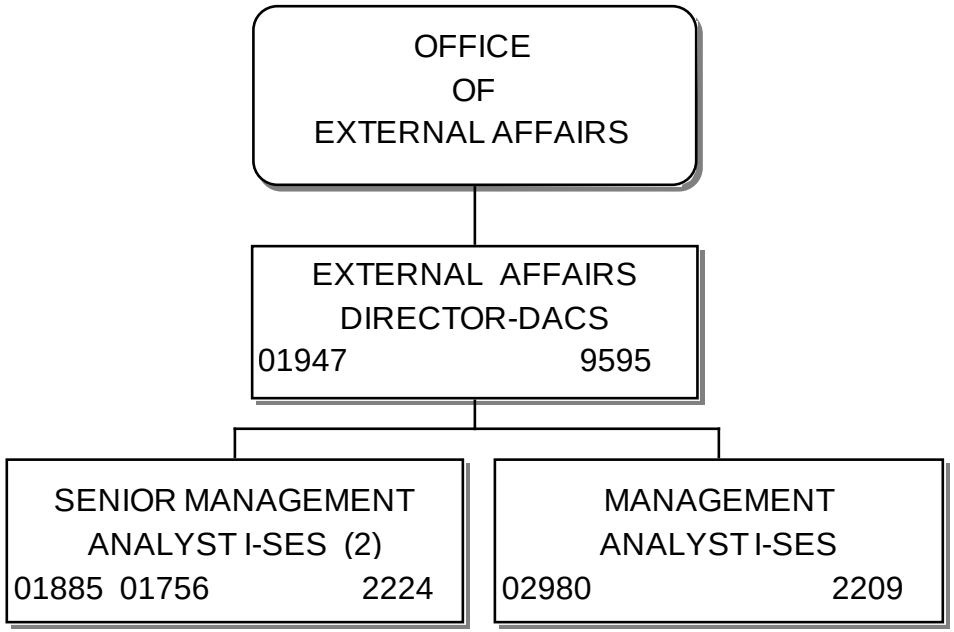
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 7/1/2015

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES COMMISSIONER'S OFFICE



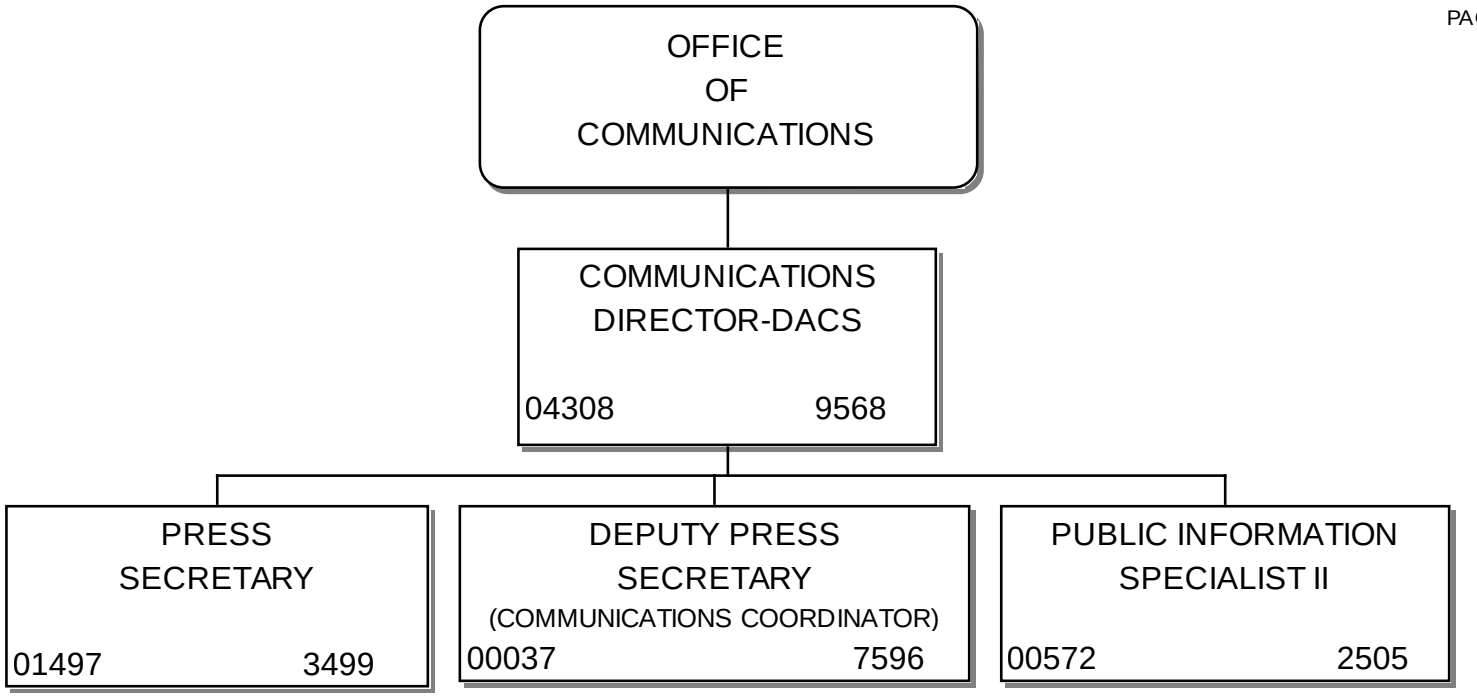
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 1/4/2011

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES COMMISSIONER'S OFFICE



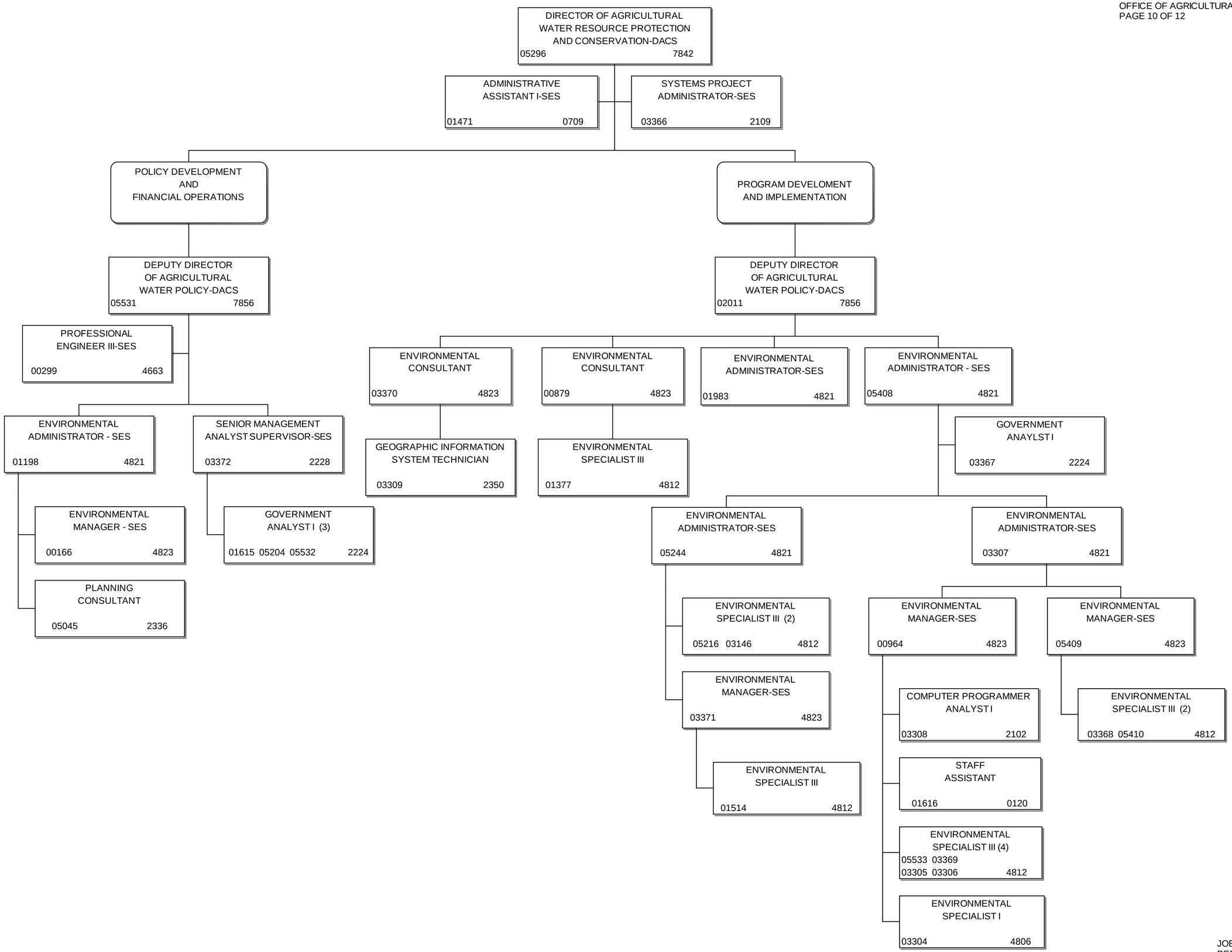
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 4/10/2015

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES COMMISSIONER'S OFFICE



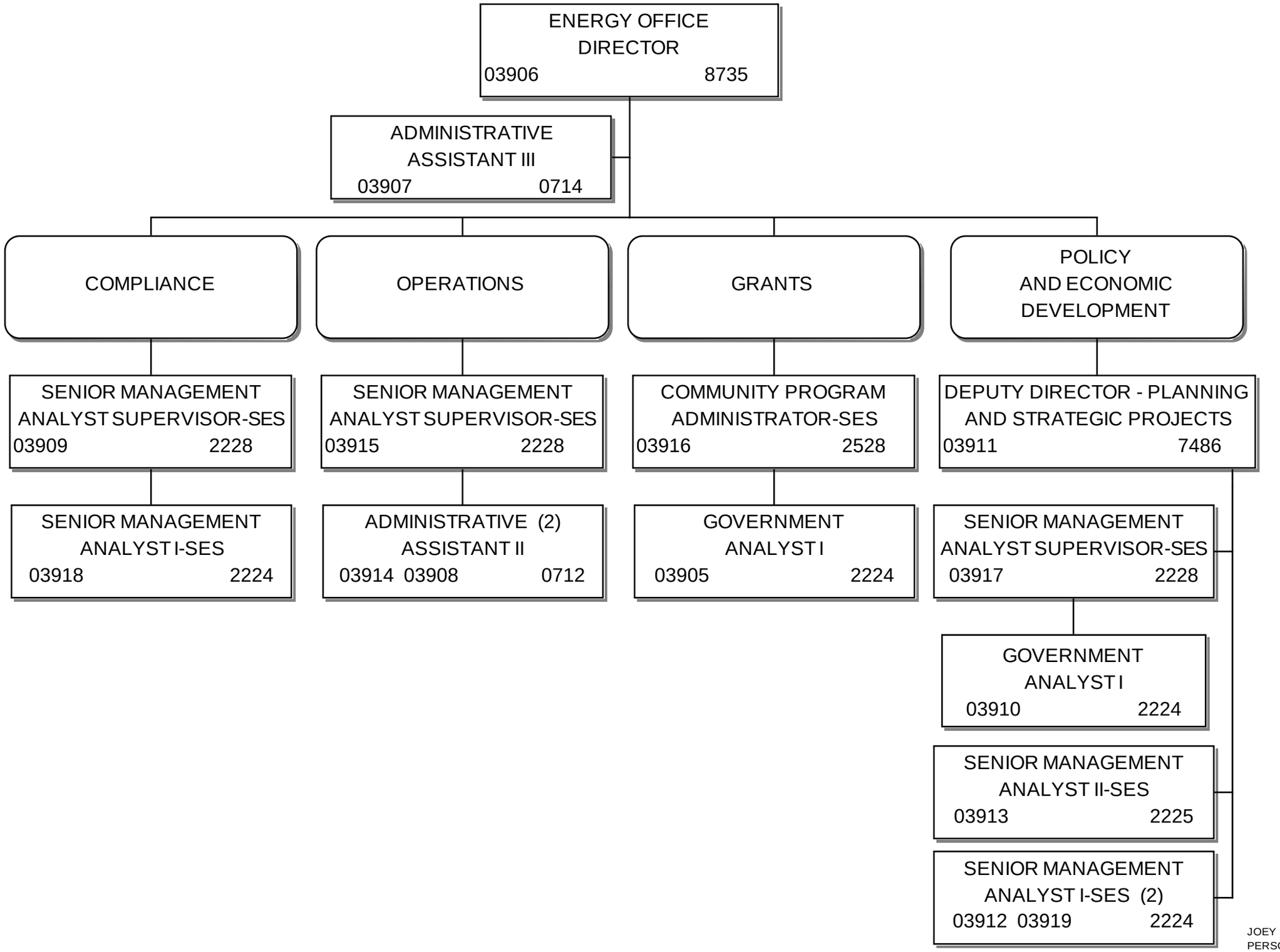
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 1/2/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



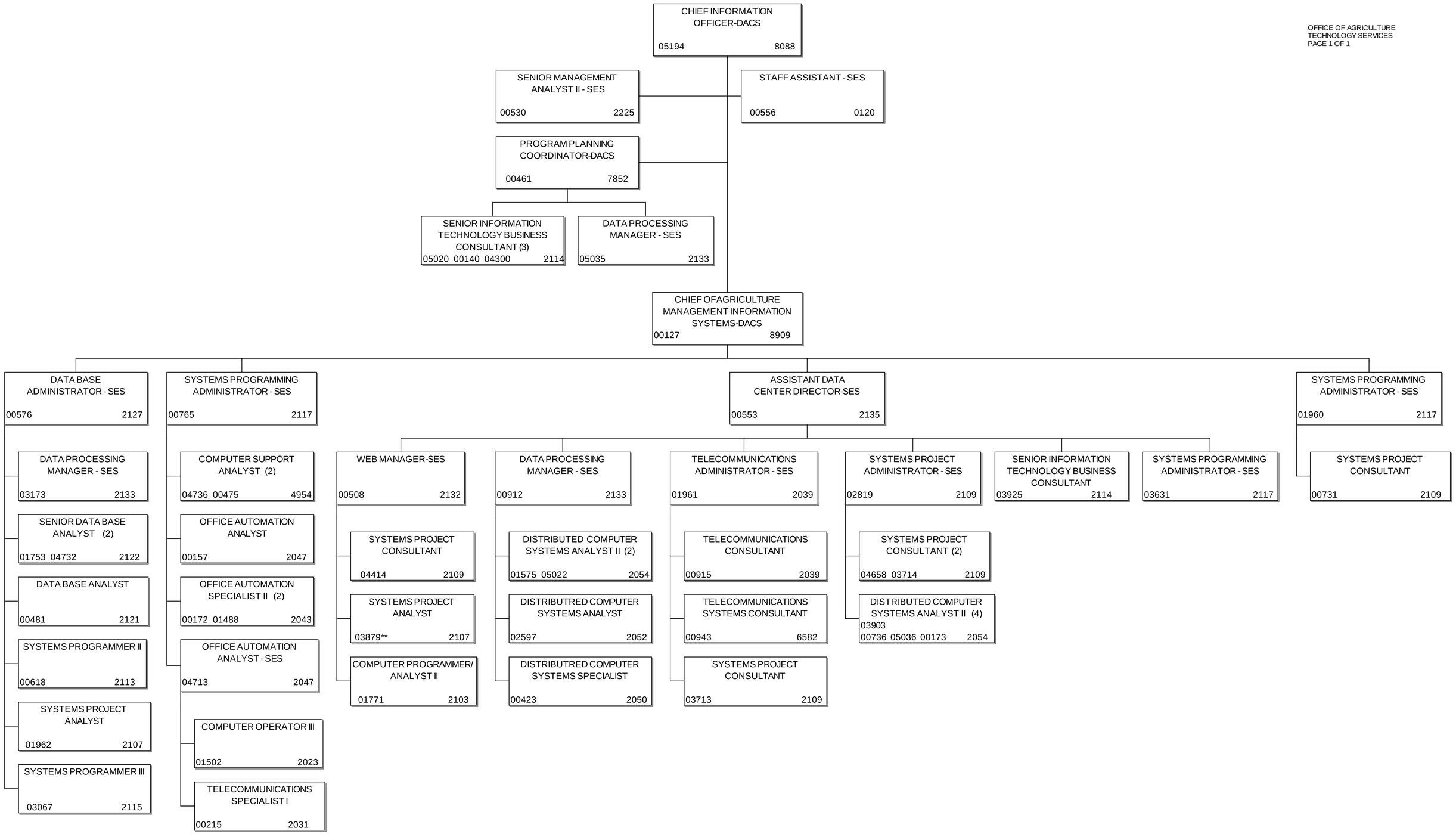
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 4/24/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/9/2014

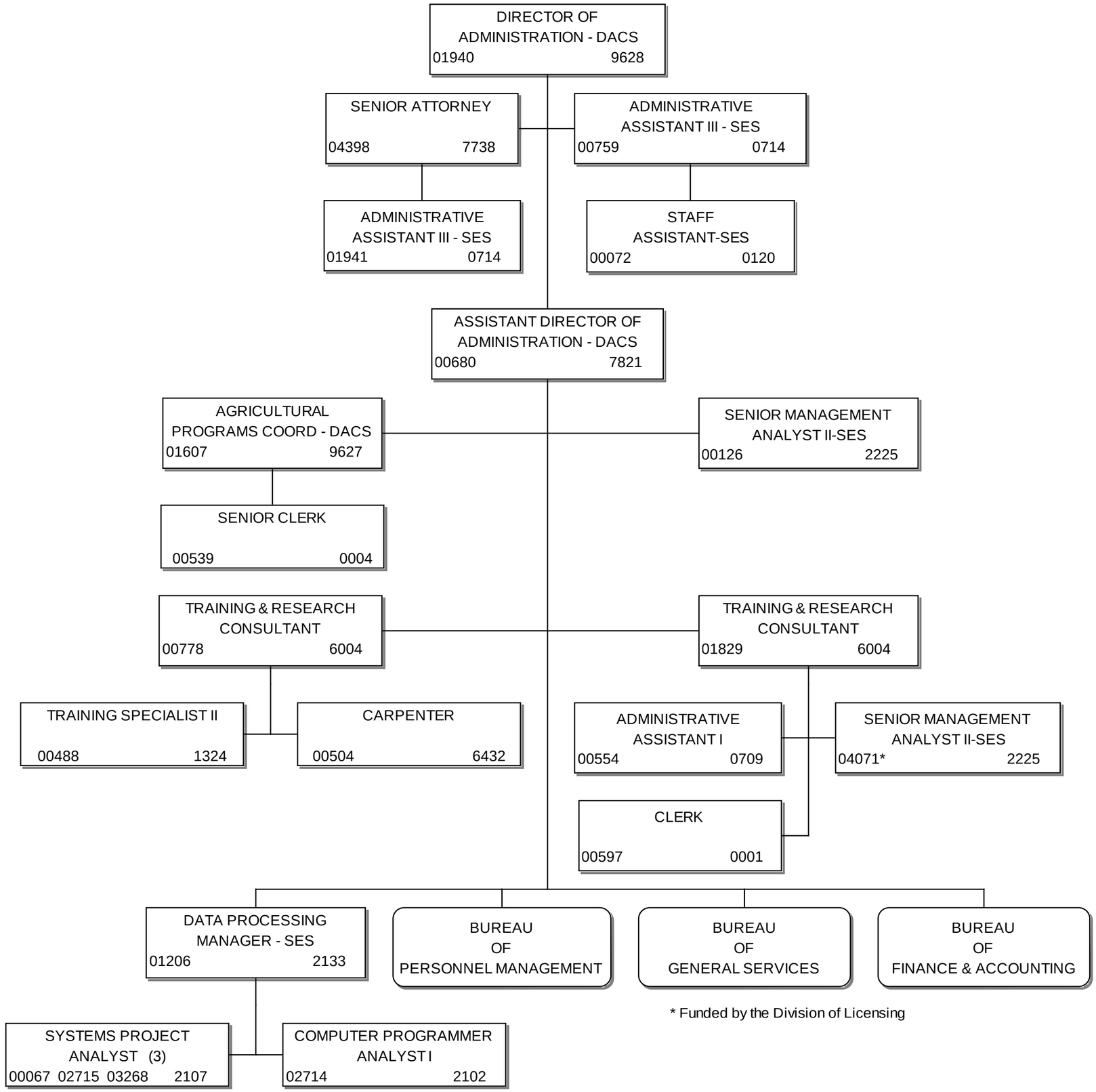
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
OFFICE OF AGRICULTURE TECHNOLOGY SERVICES



** Funded by Division of Licensing

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

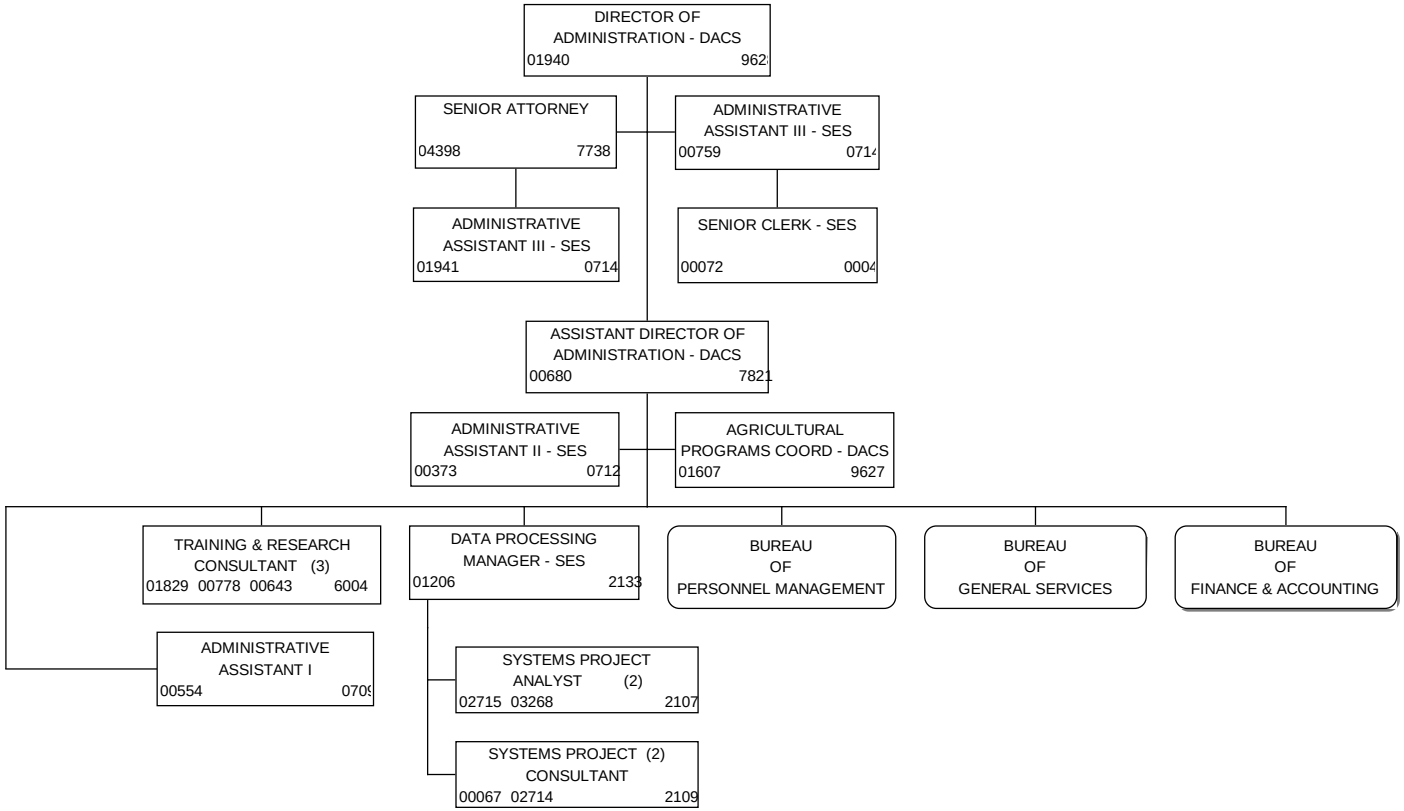
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ADMINISTRATION



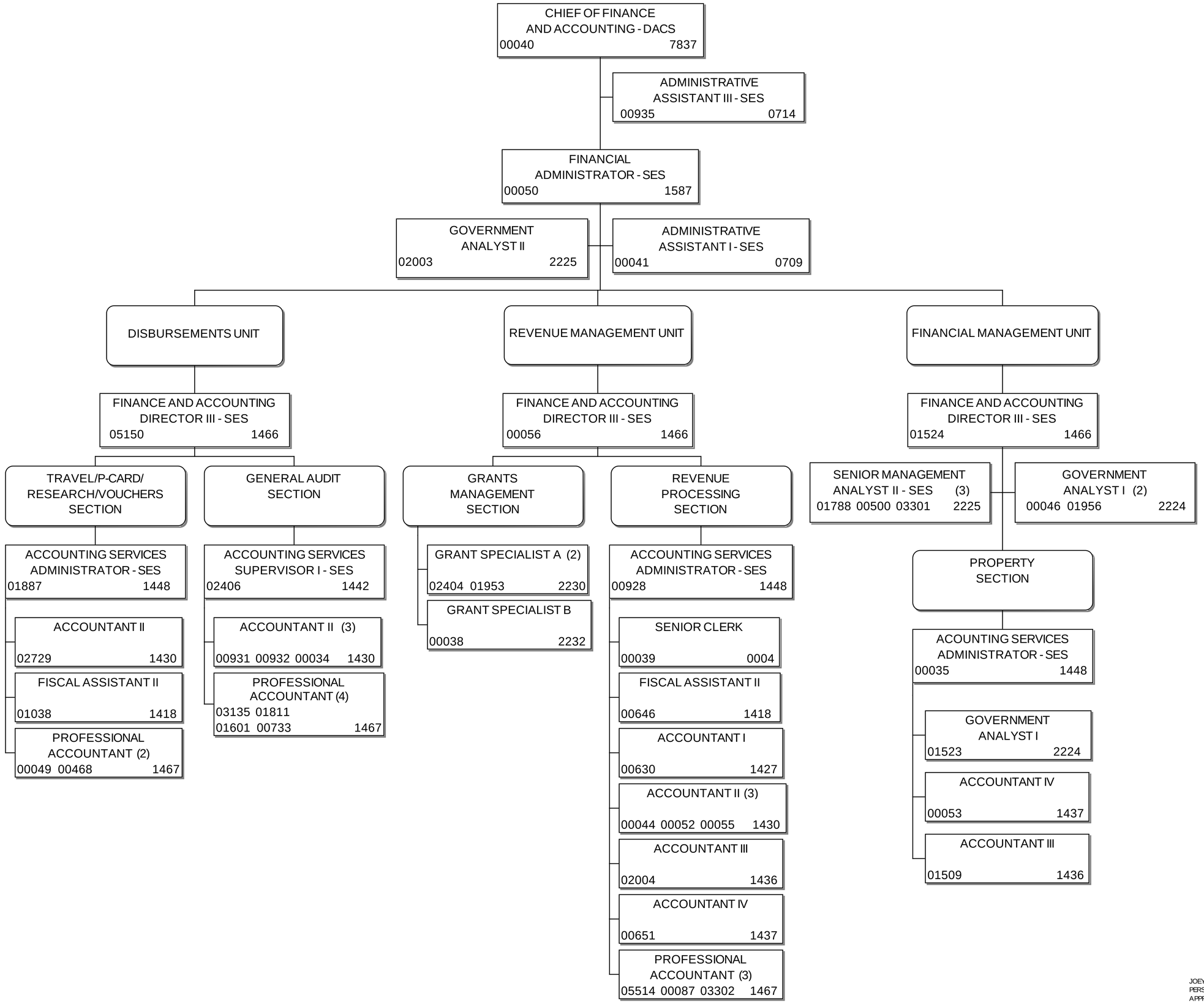
* Funded by the Division of Licensing

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ADMINISTRATION

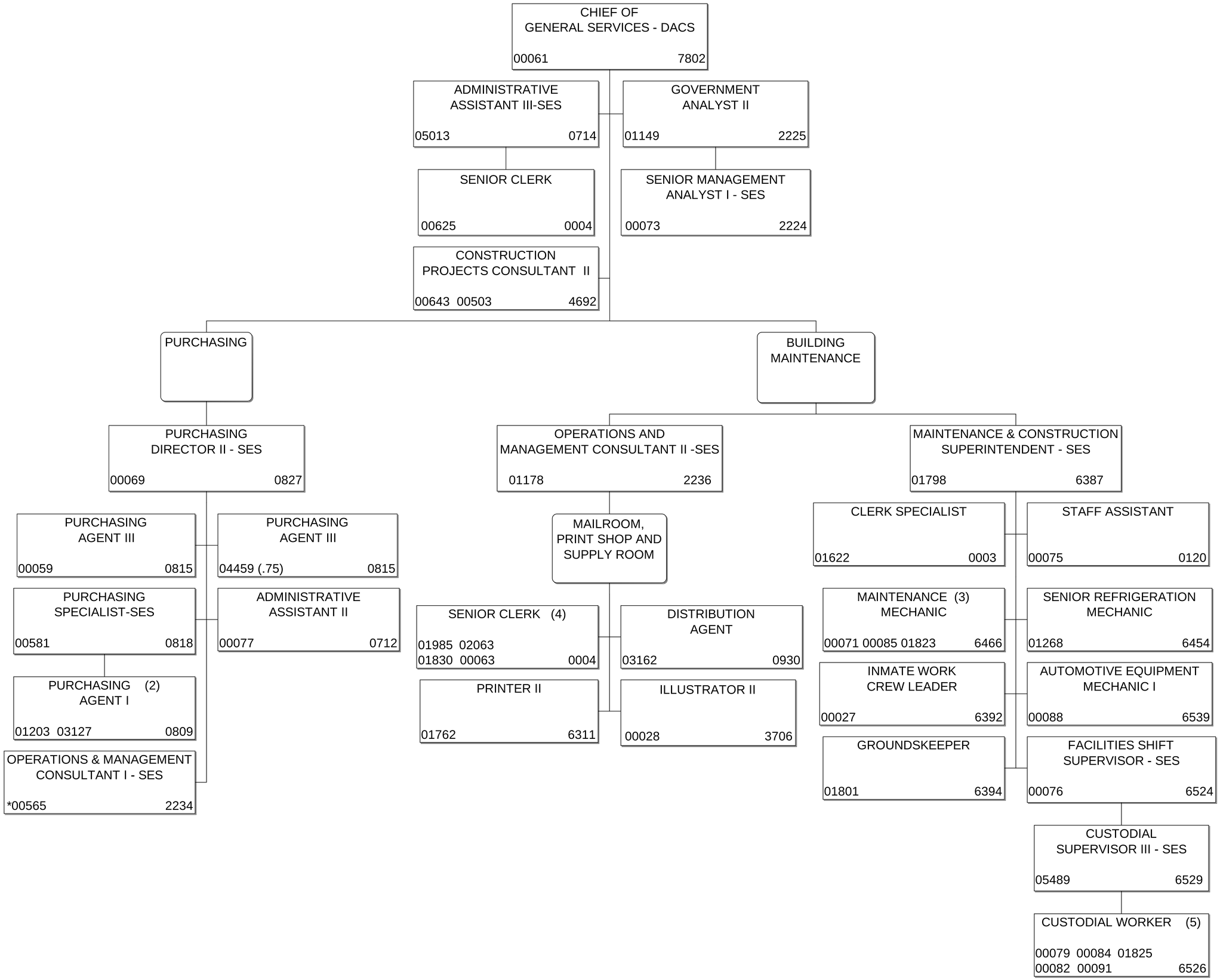


DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ADMINISTRATION



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/2/2014

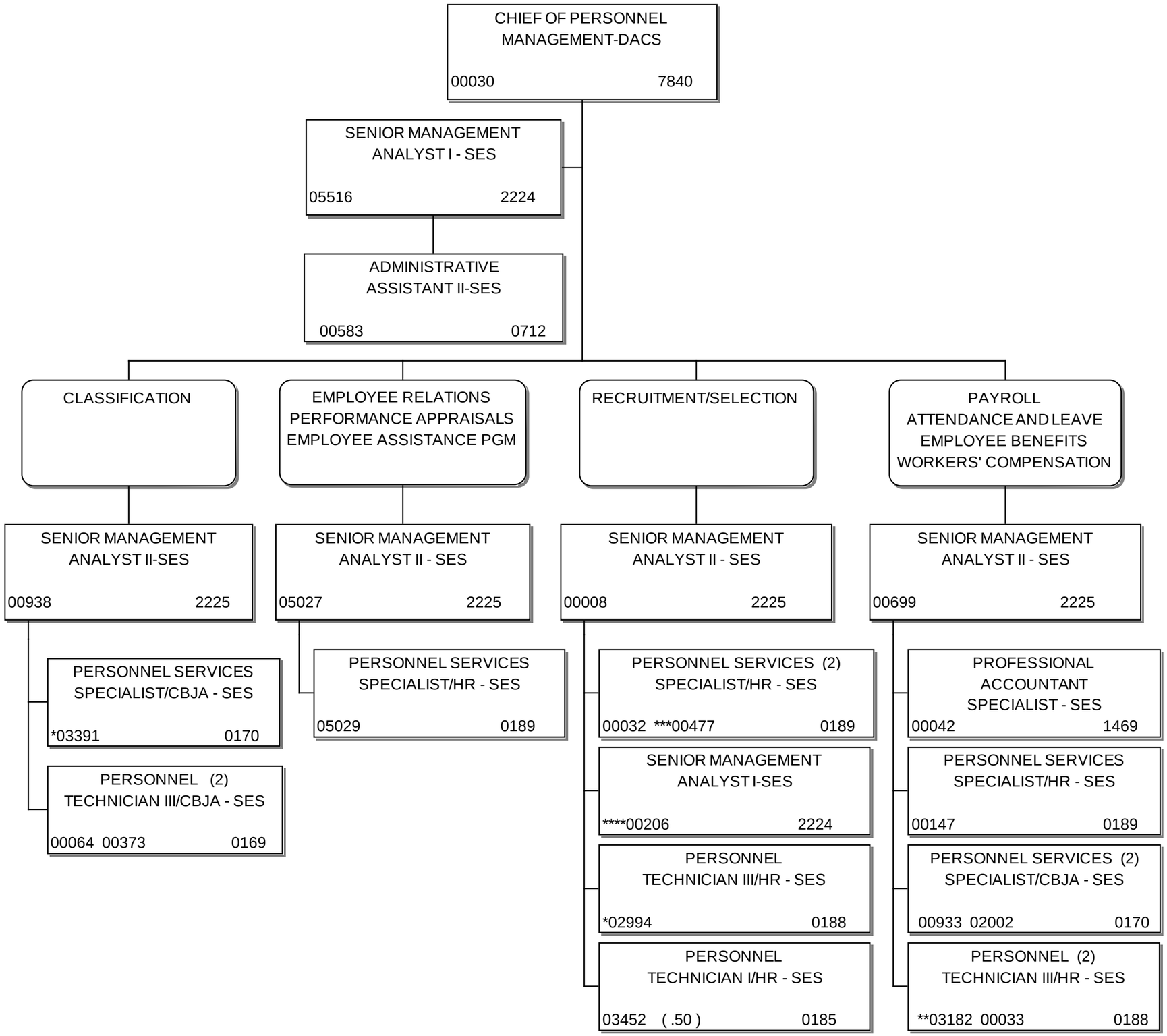
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ADMINISTRATION



*FUNDED FROM OATS

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ADMINISTRATION

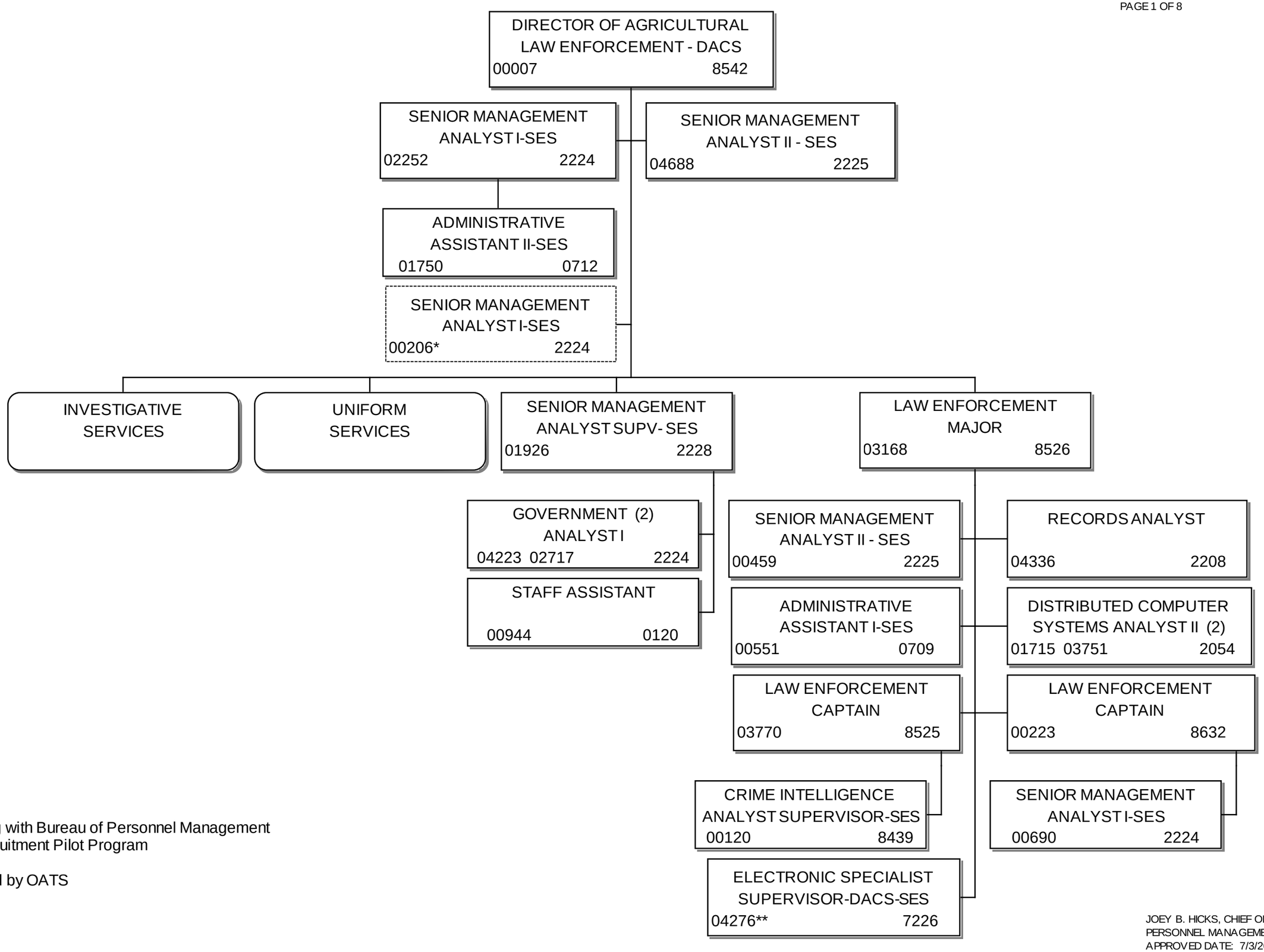


*Funded from Florida Forest Service
**Funded fron Div. of Aquaculture
***Funded from Div. of Food Safety
****Funded from OALE

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 1/2/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE

DIVISION FTE: 282
OFFICE OF AGRICULTURAL LAW ENFORCEMENT

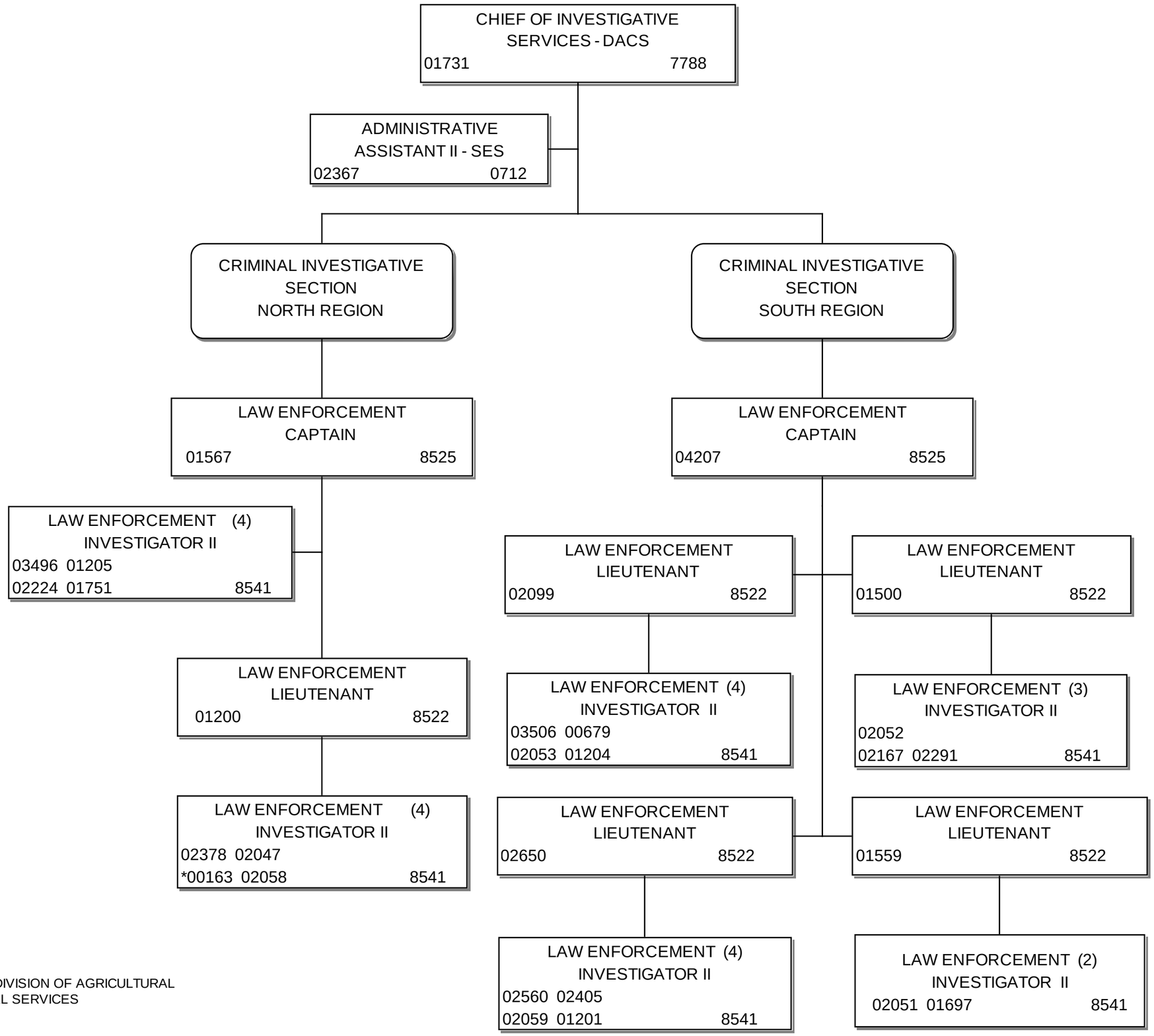


* Working with Bureau of Personnel Management on Recruitment Pilot Program

** Funded by OATS

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

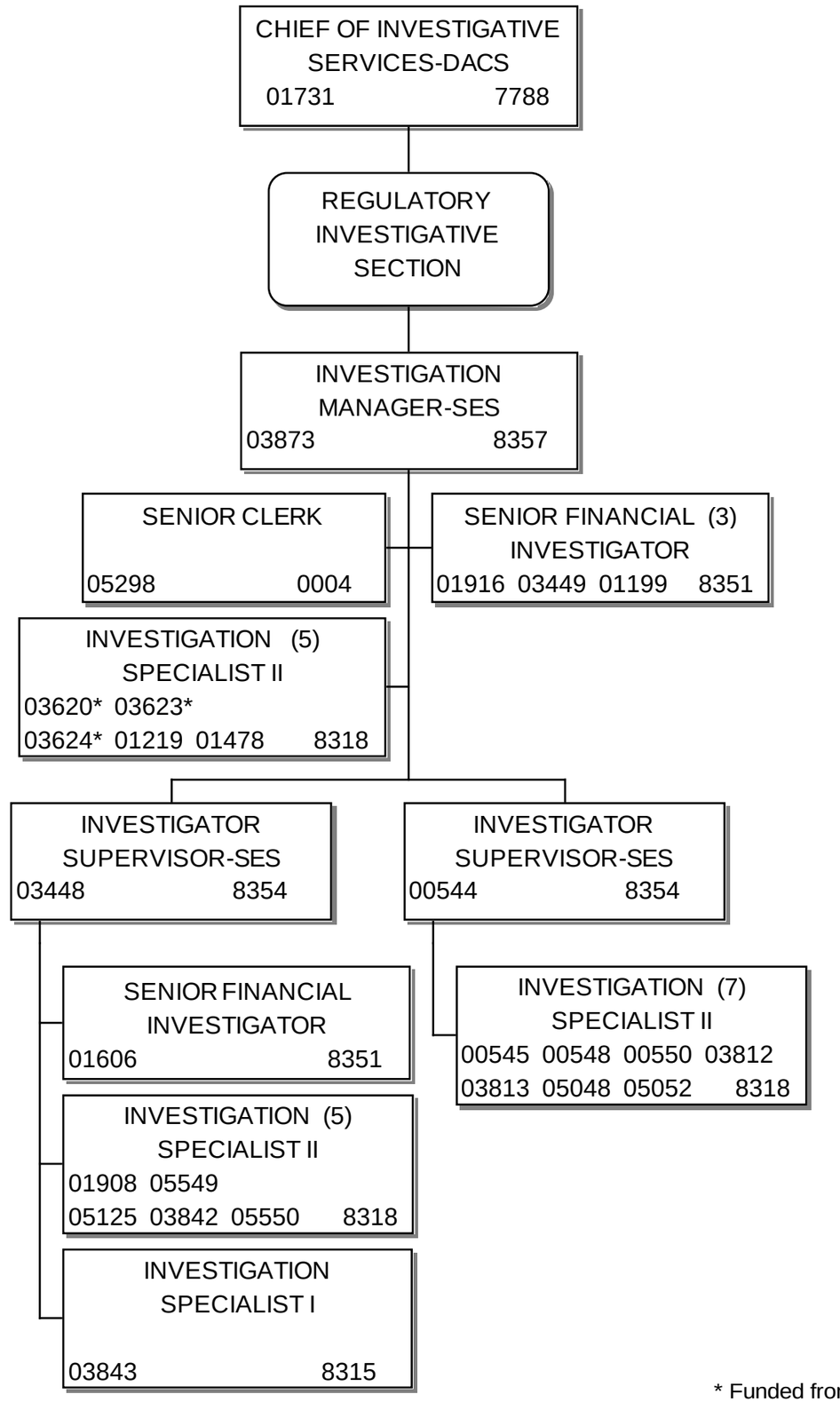
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



* FUNDED FROM DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

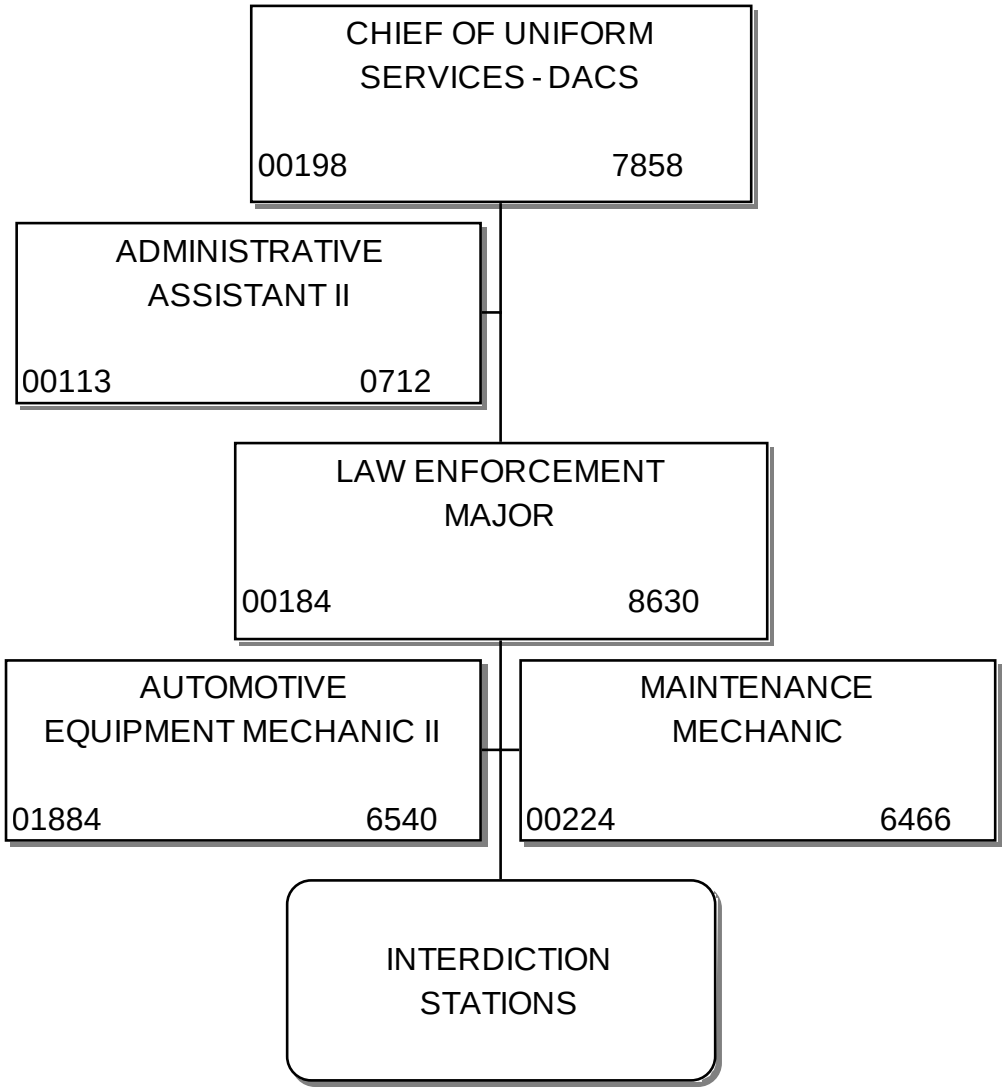
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 7/3/2015

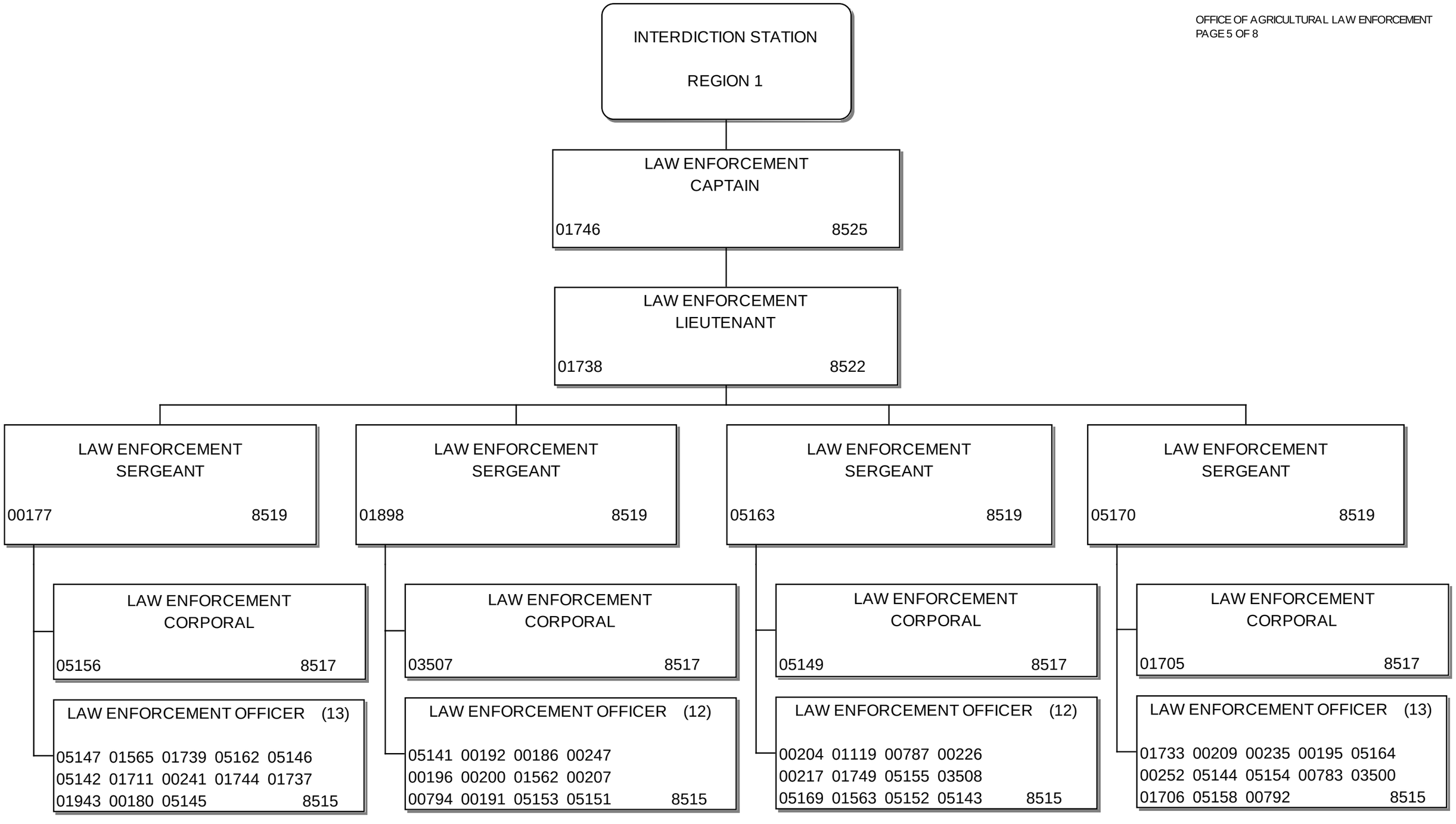
* Funded from Division of Licensing

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES COMMISSIONER'S OFFICE



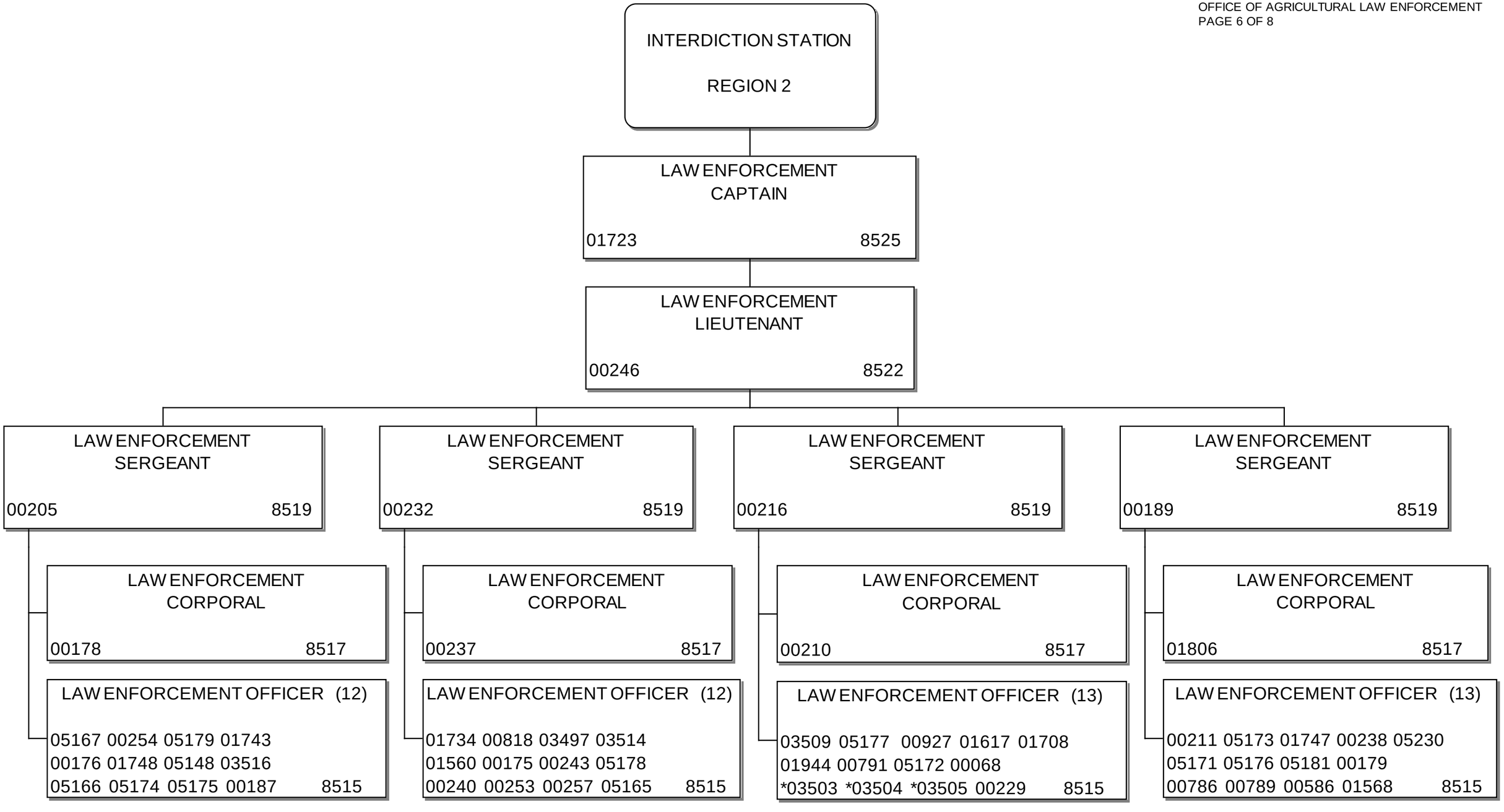
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/28/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/25/2013

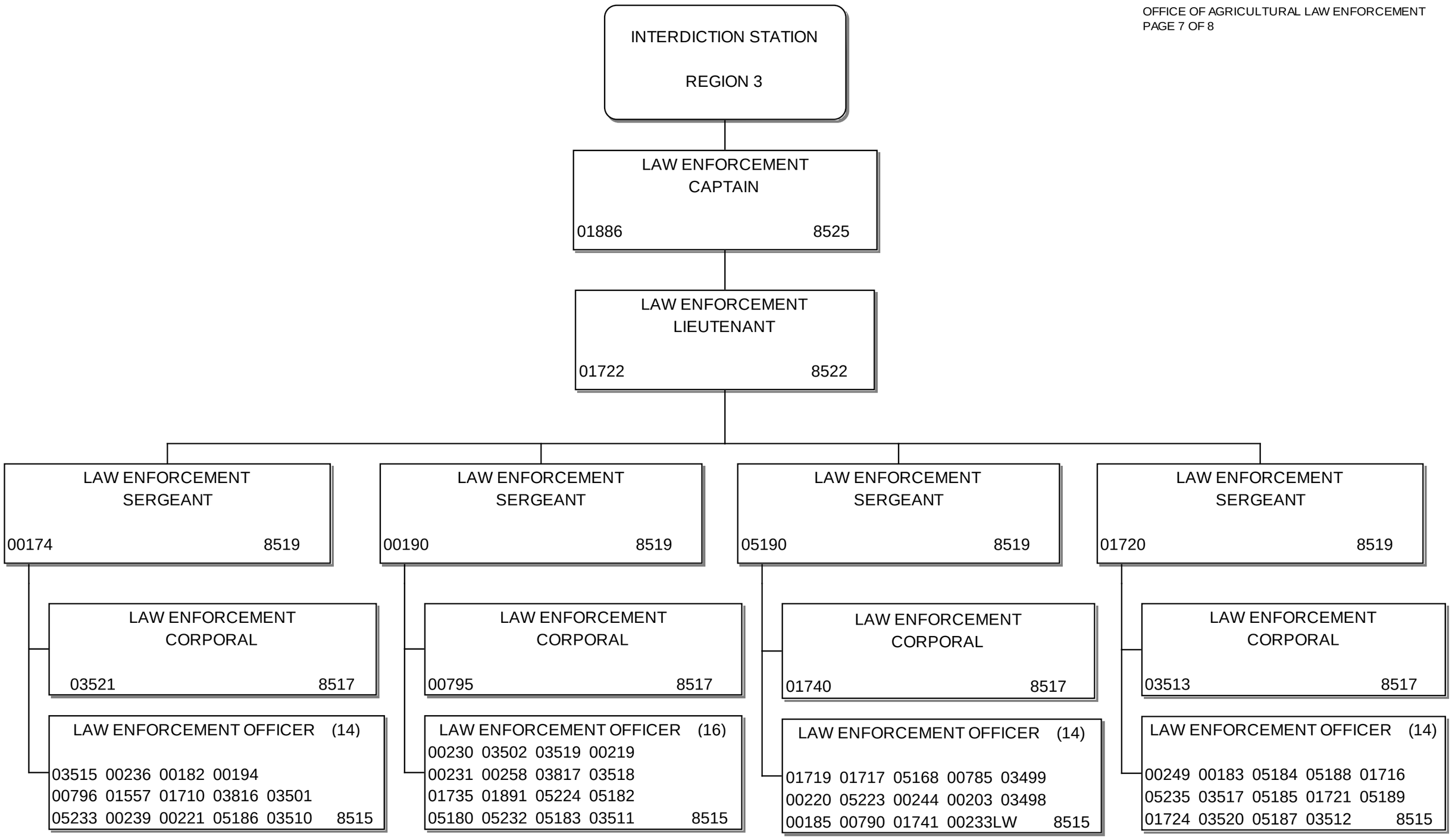
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



*VACIS

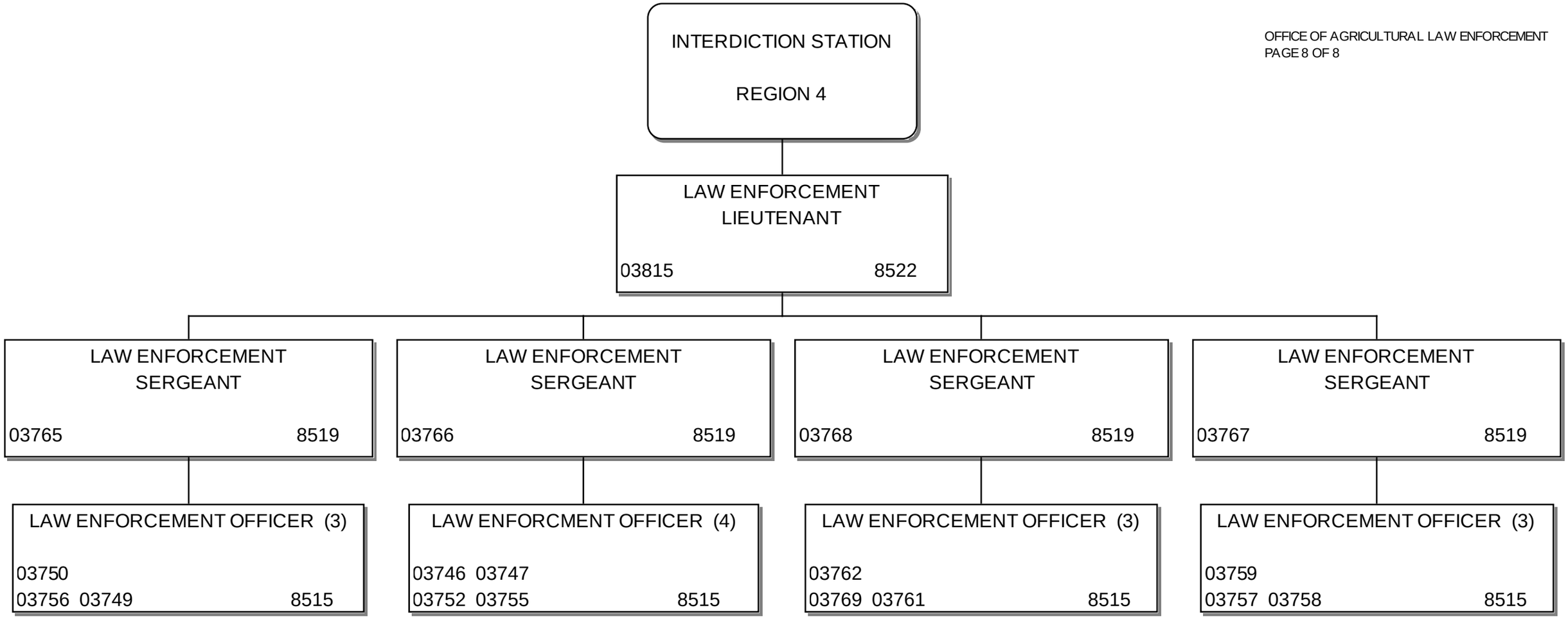
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/25/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



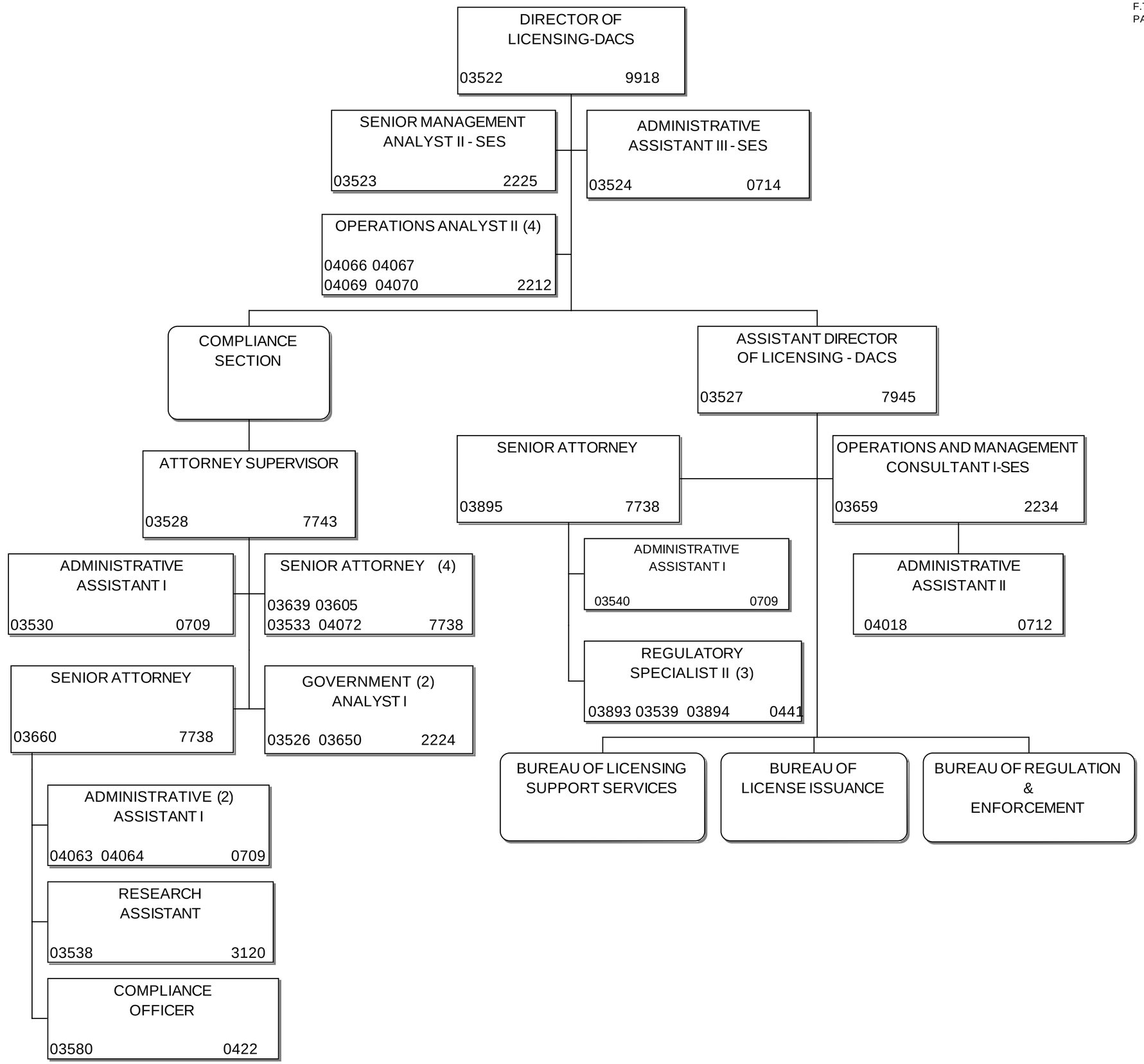
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVD DATE: 8/15/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
COMMISSIONER'S OFFICE



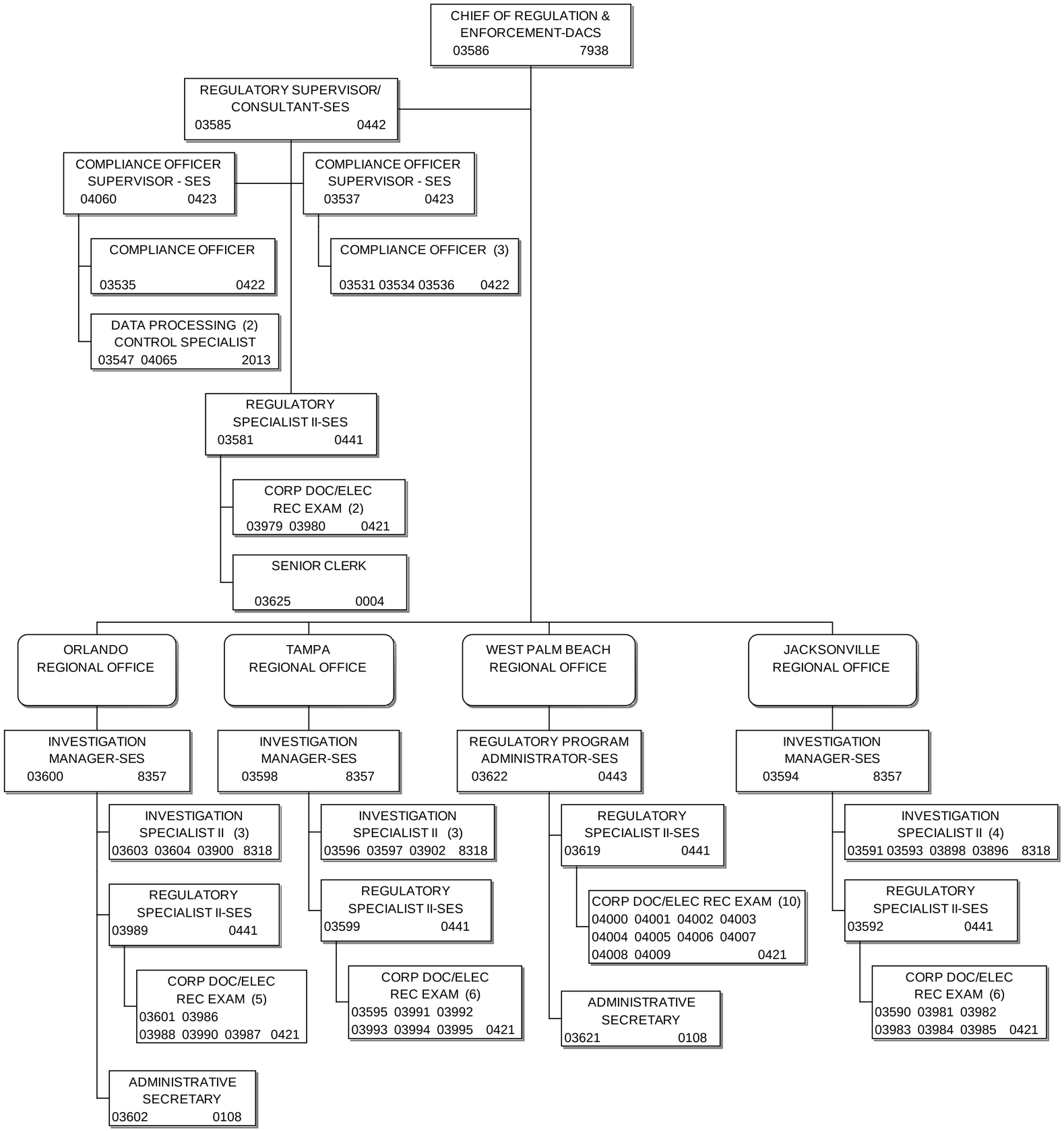
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 11/7/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF LICENSING



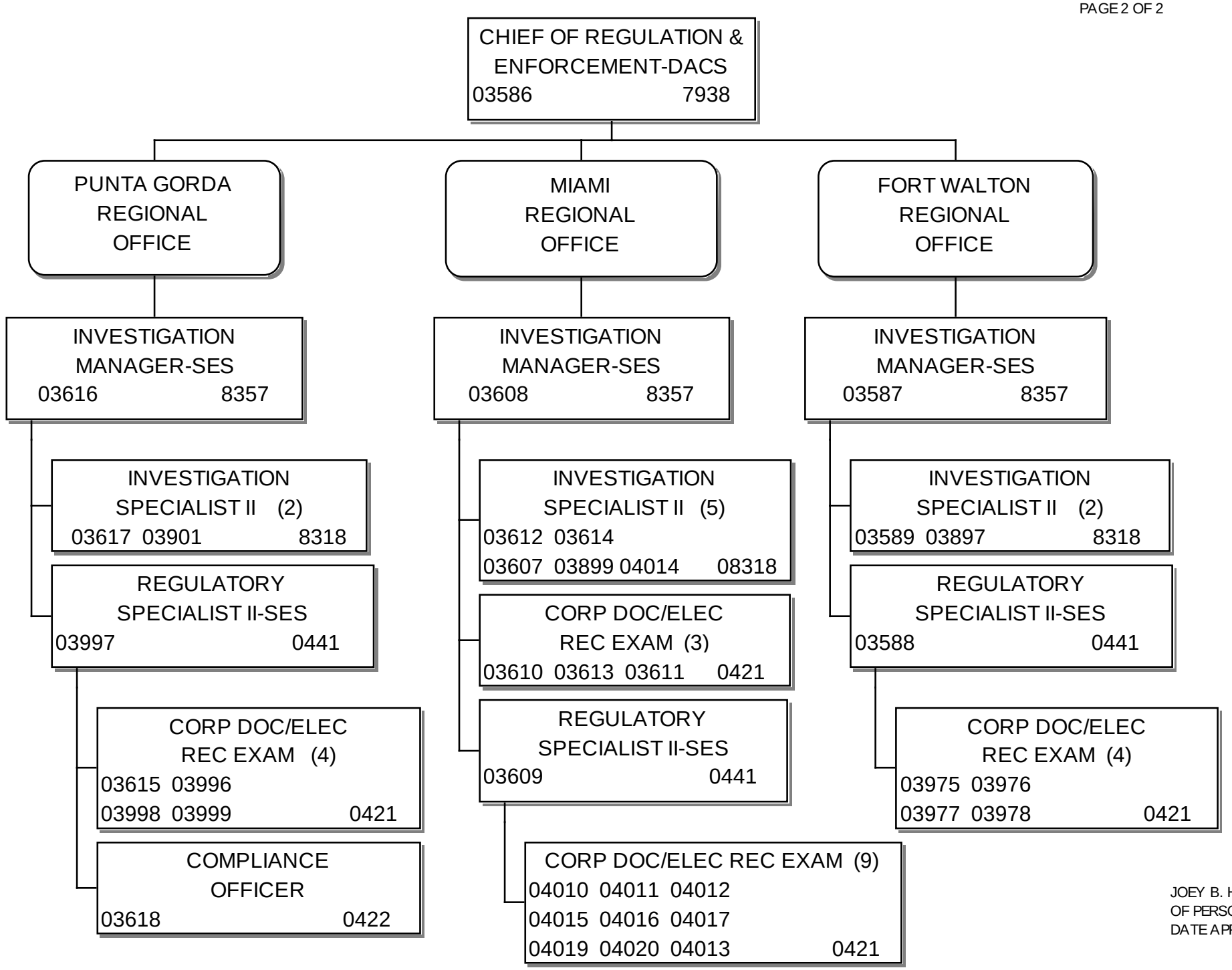
JOEY B. HICKS, CHIEF
PERSONNEL MANAGEMENT
DATE APPROVED: 7/3/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF LICENSING



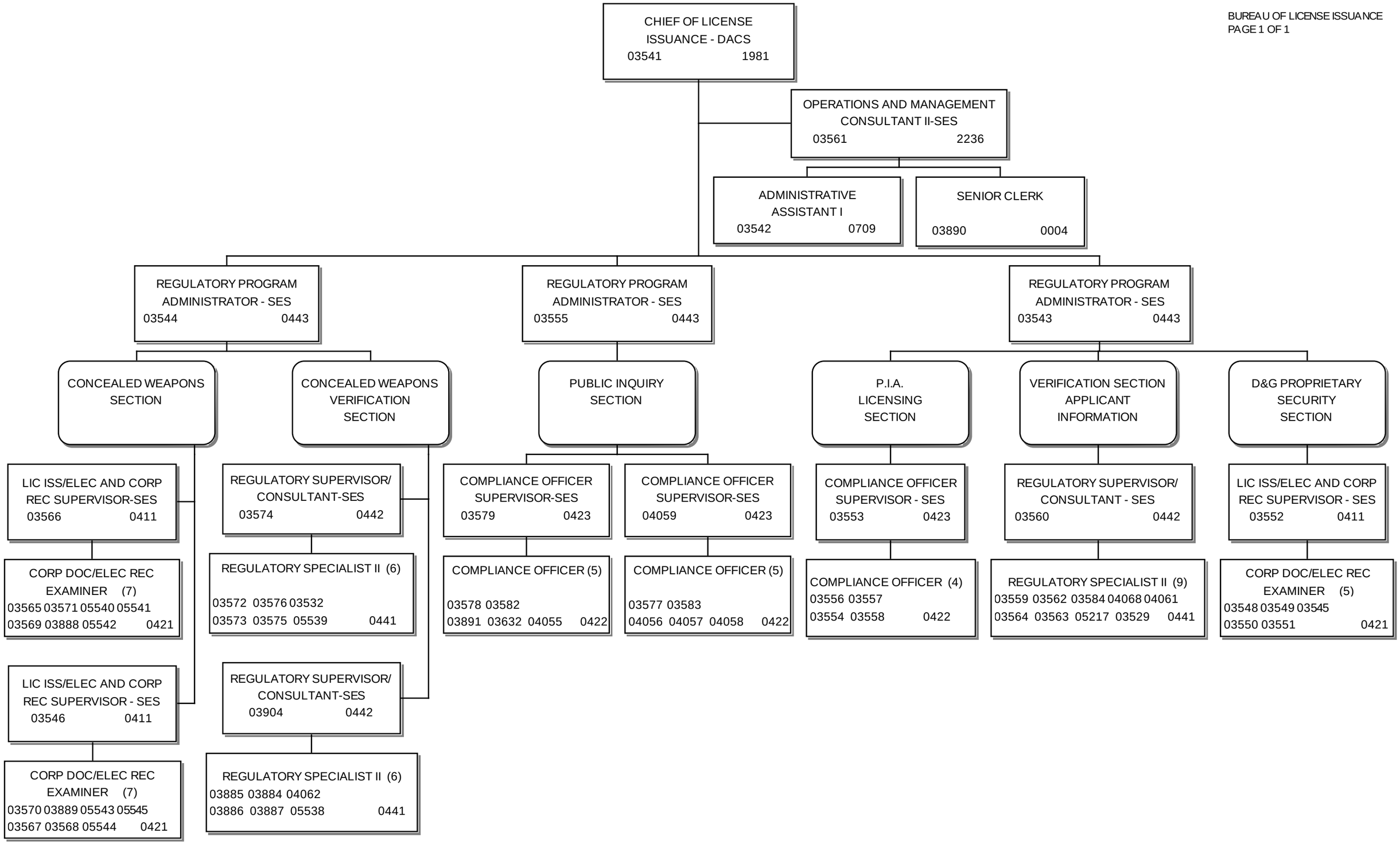
JOEY B. HICKS, CHIEF
OF PERSONNEL MANAGEMENT
DATE APPROVED: 3/13/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF LICENSING



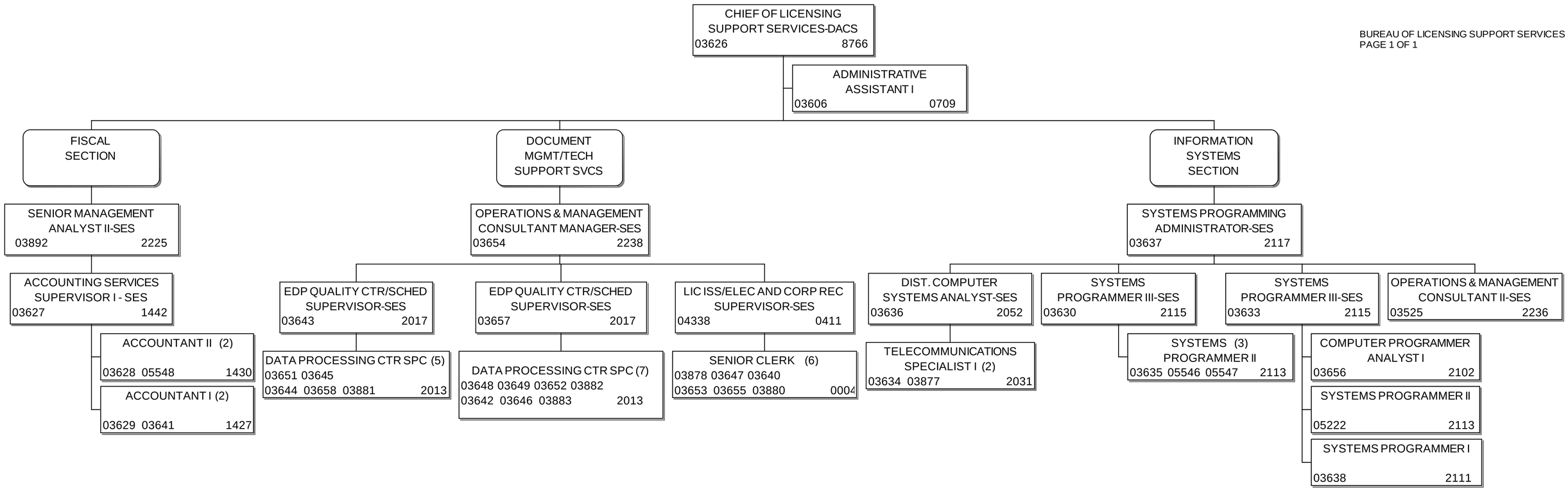
JOEY B. HICKS, CHIEF
OF PERSONNEL MANAGEMENT
DATE APPROVED: 4/25/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF LICENSING



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 4/24/2015

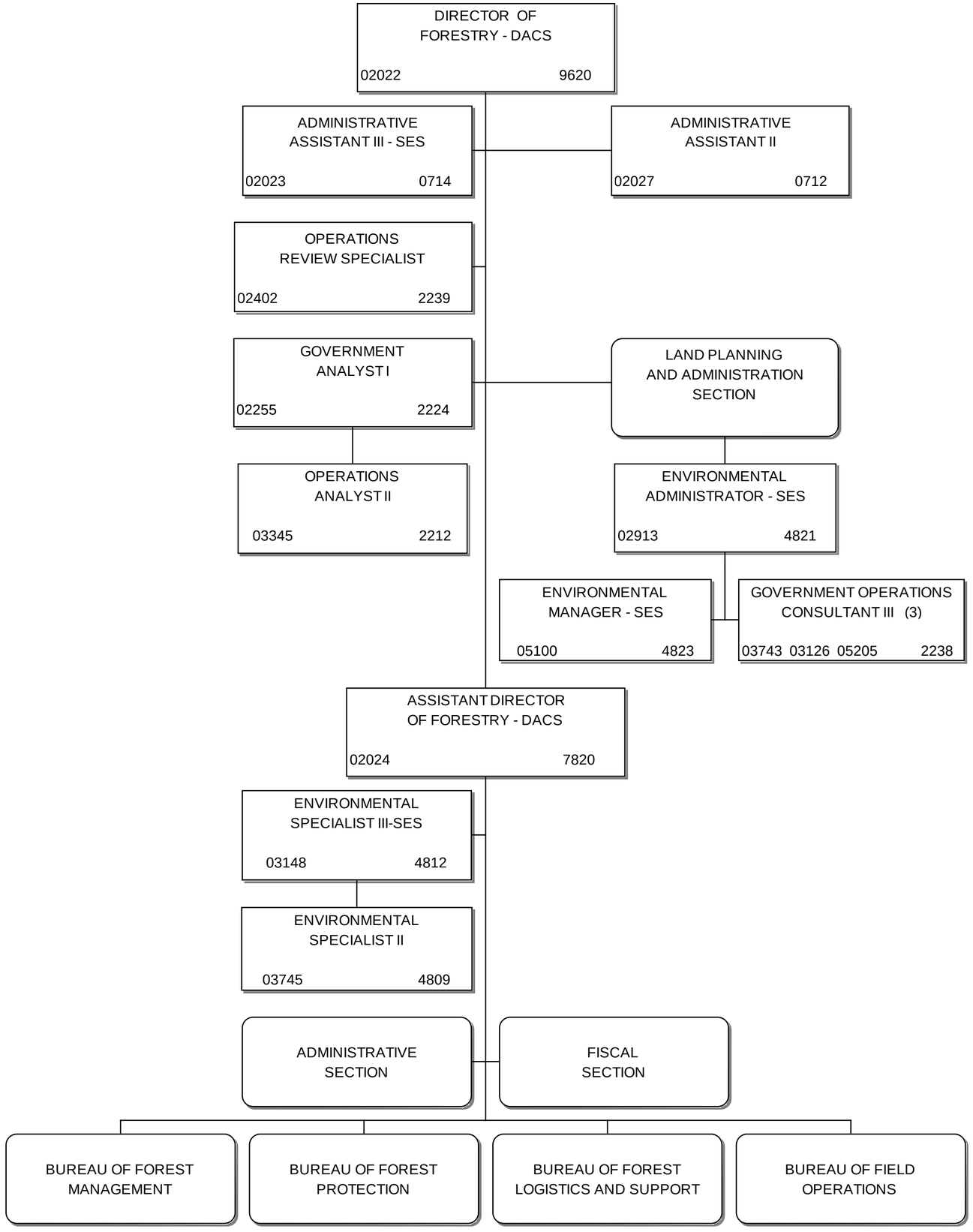
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF LICENSING



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 12/5/2014

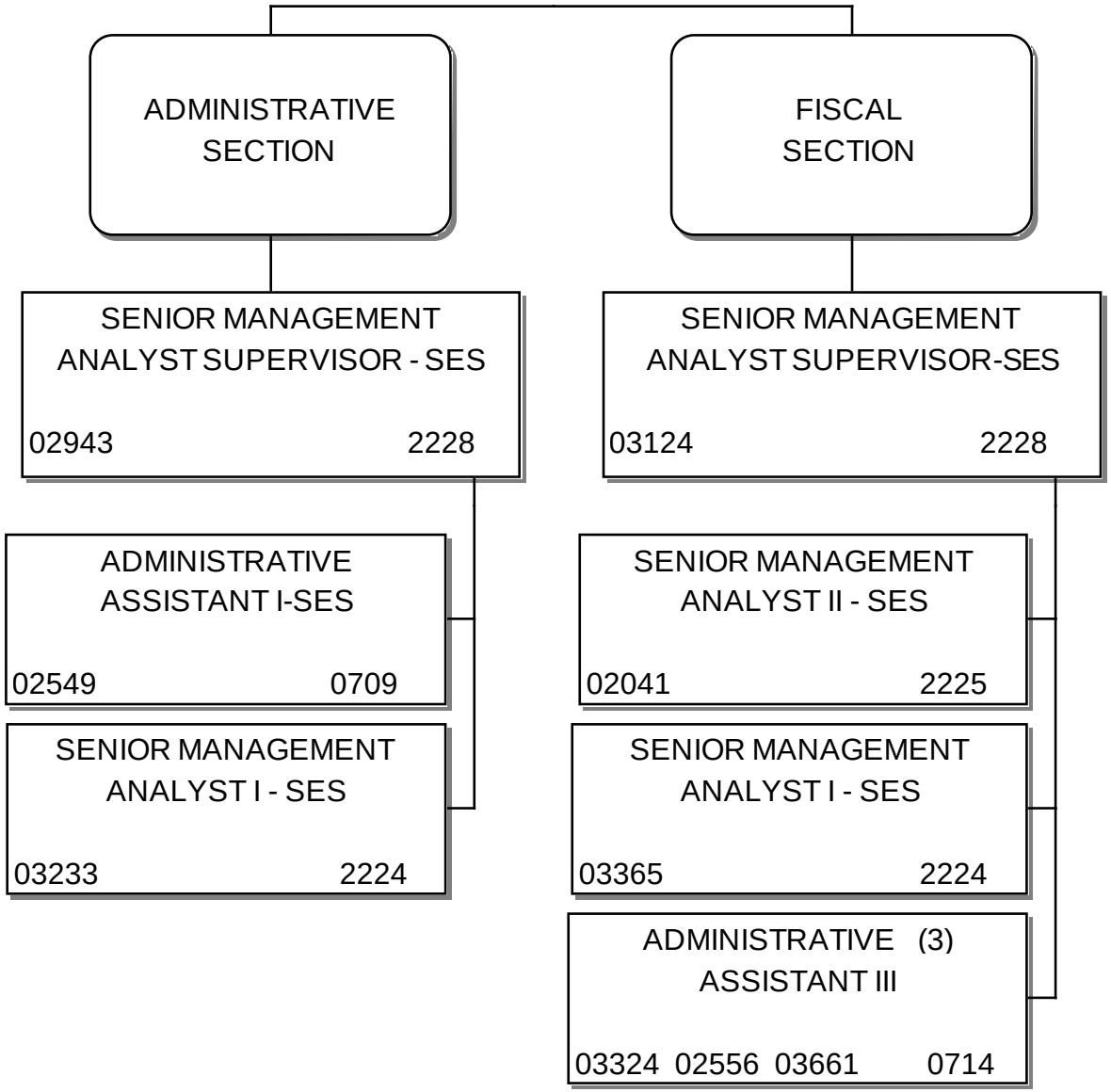
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

DIVISION F.T.E. 1,178.50
DIRECTOR'S OFFICE



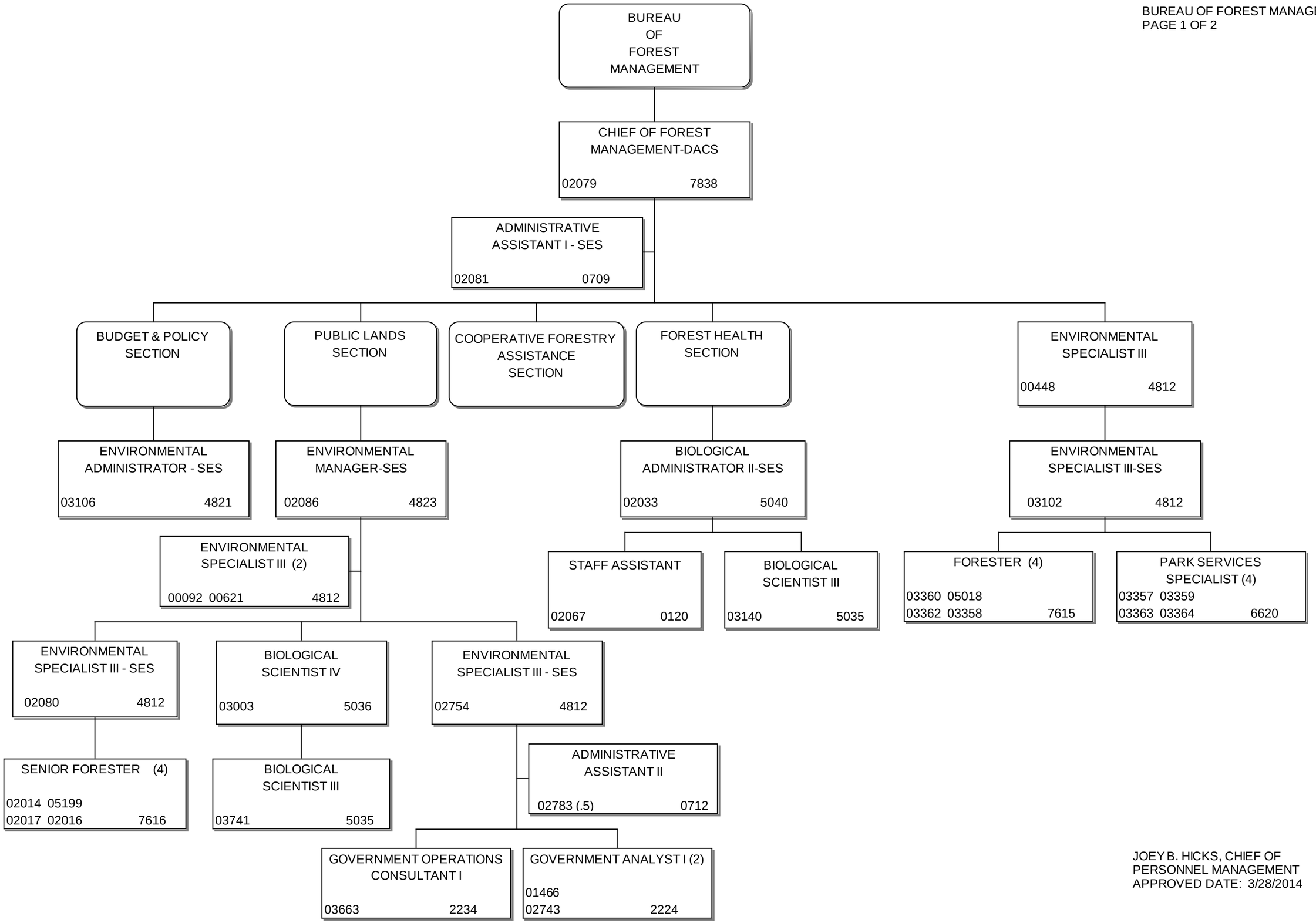
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



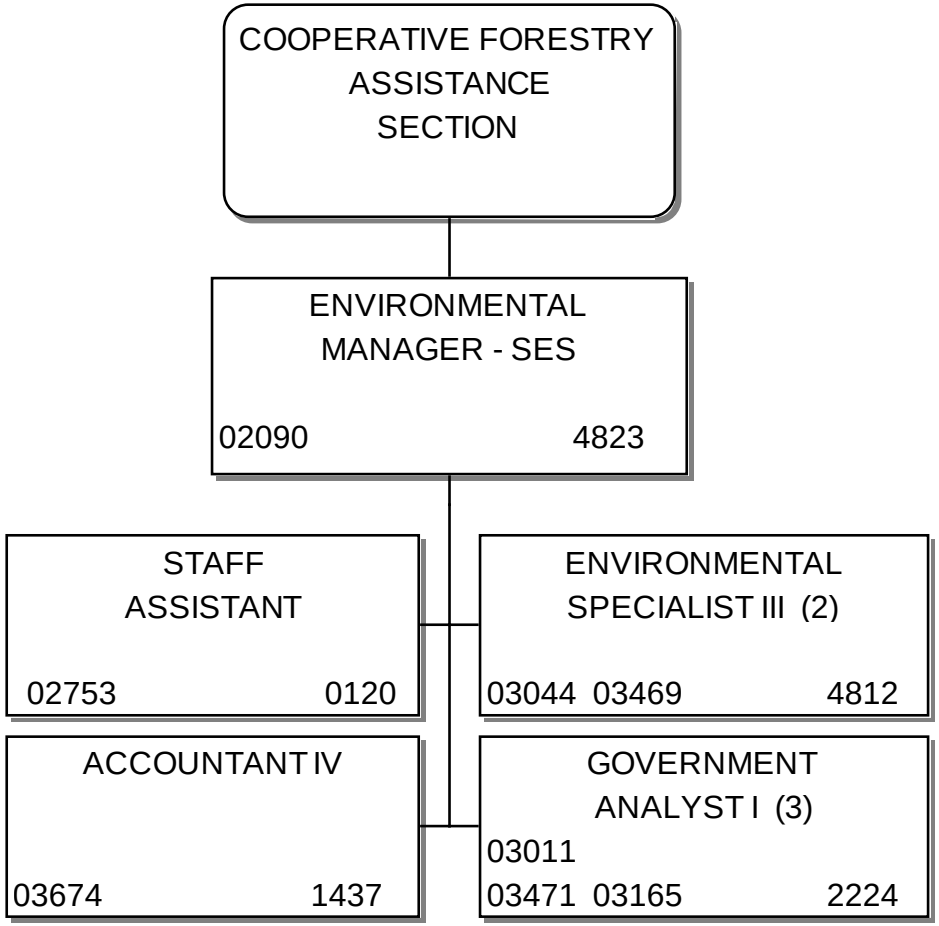
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/11/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



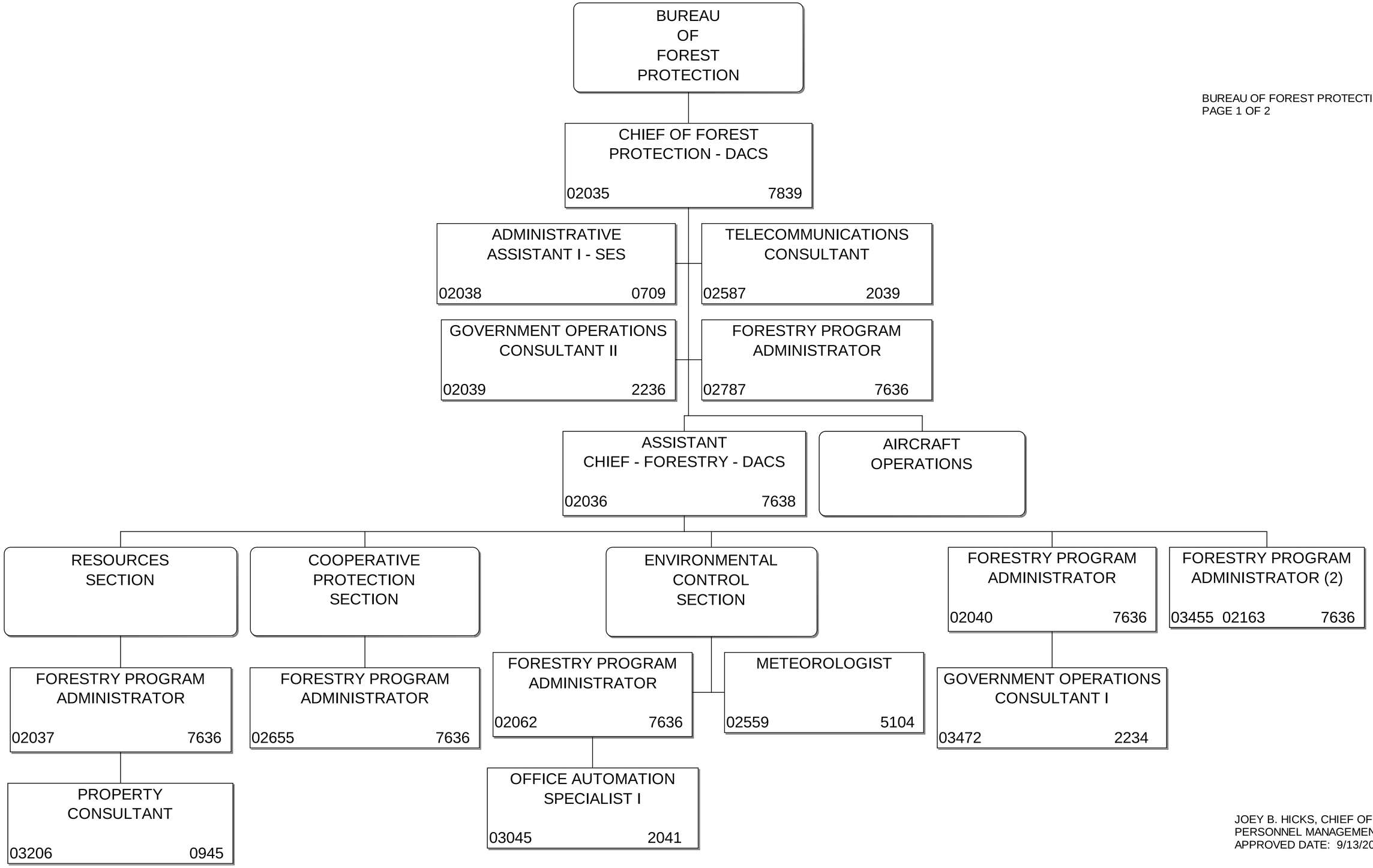
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/28/2014

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES FLORIDA FOREST SERVICE



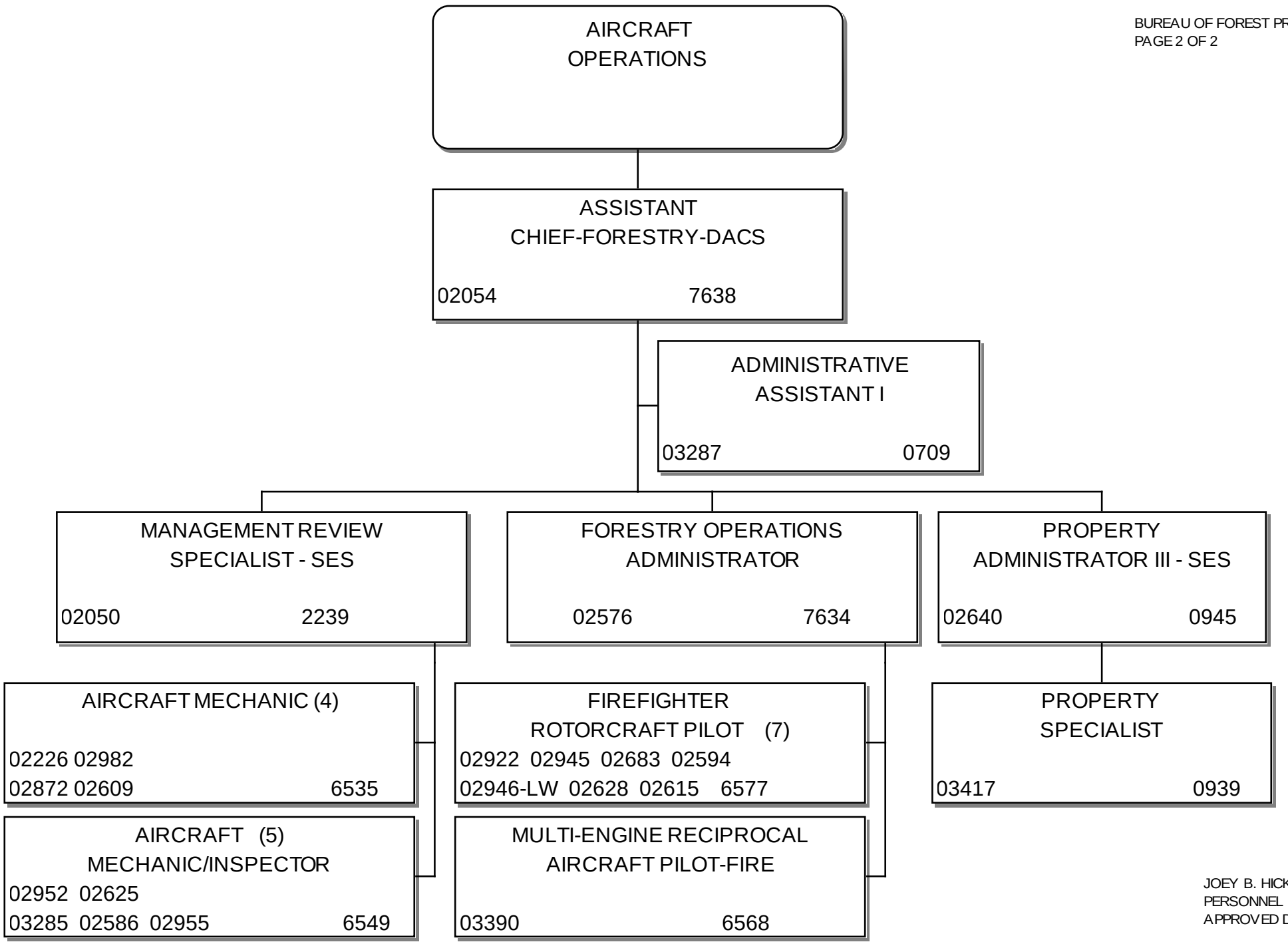
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/23/2014

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES
FLORIDA FOREST SERVICE
BUREAU OF FOREST PROTECTION



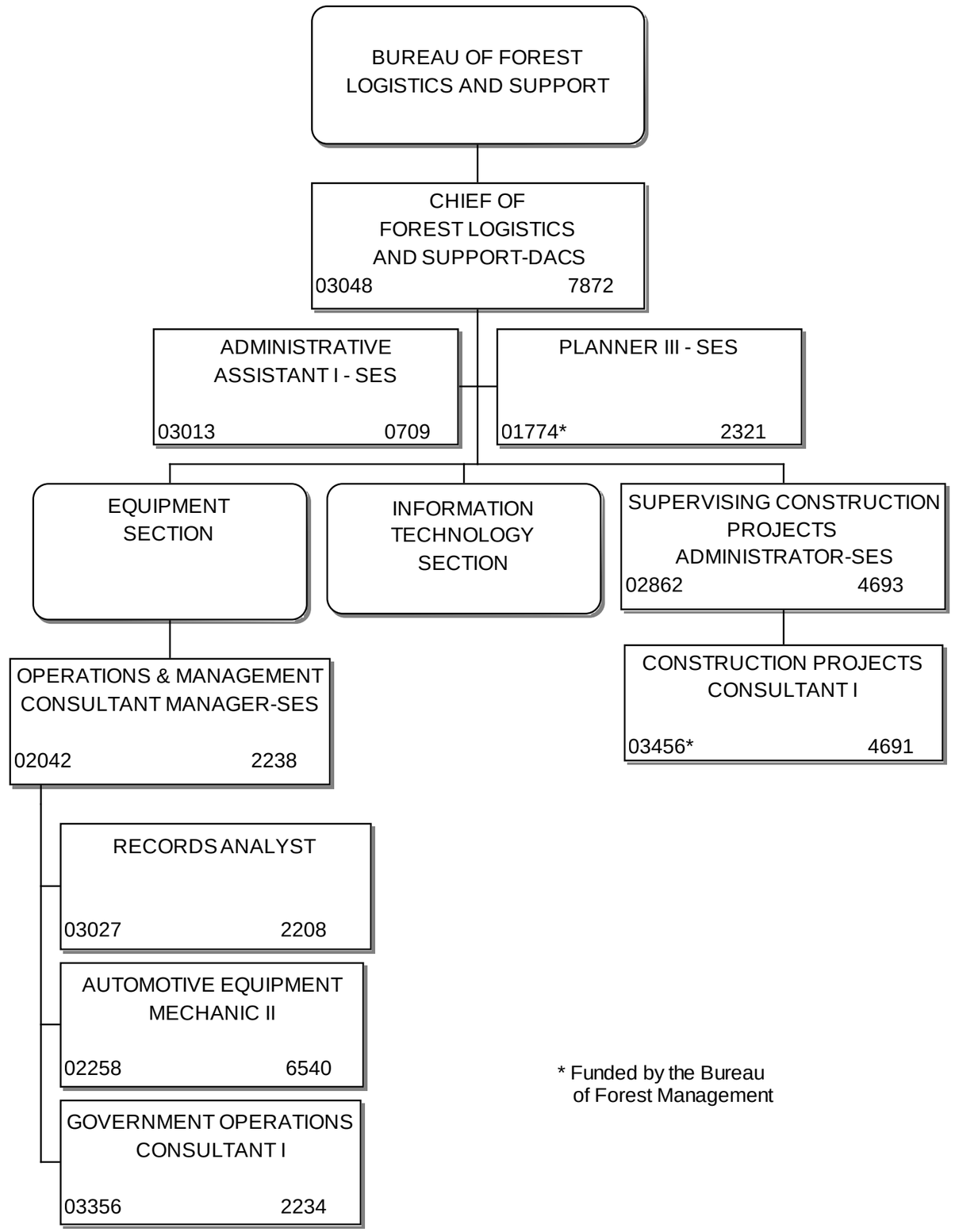
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 9/13/2013

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES - DIVISION OF FORESTRY
FLORIDA FOREST SERVICE
BUREAU OF FOREST PROTECTION



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 9/13/2013

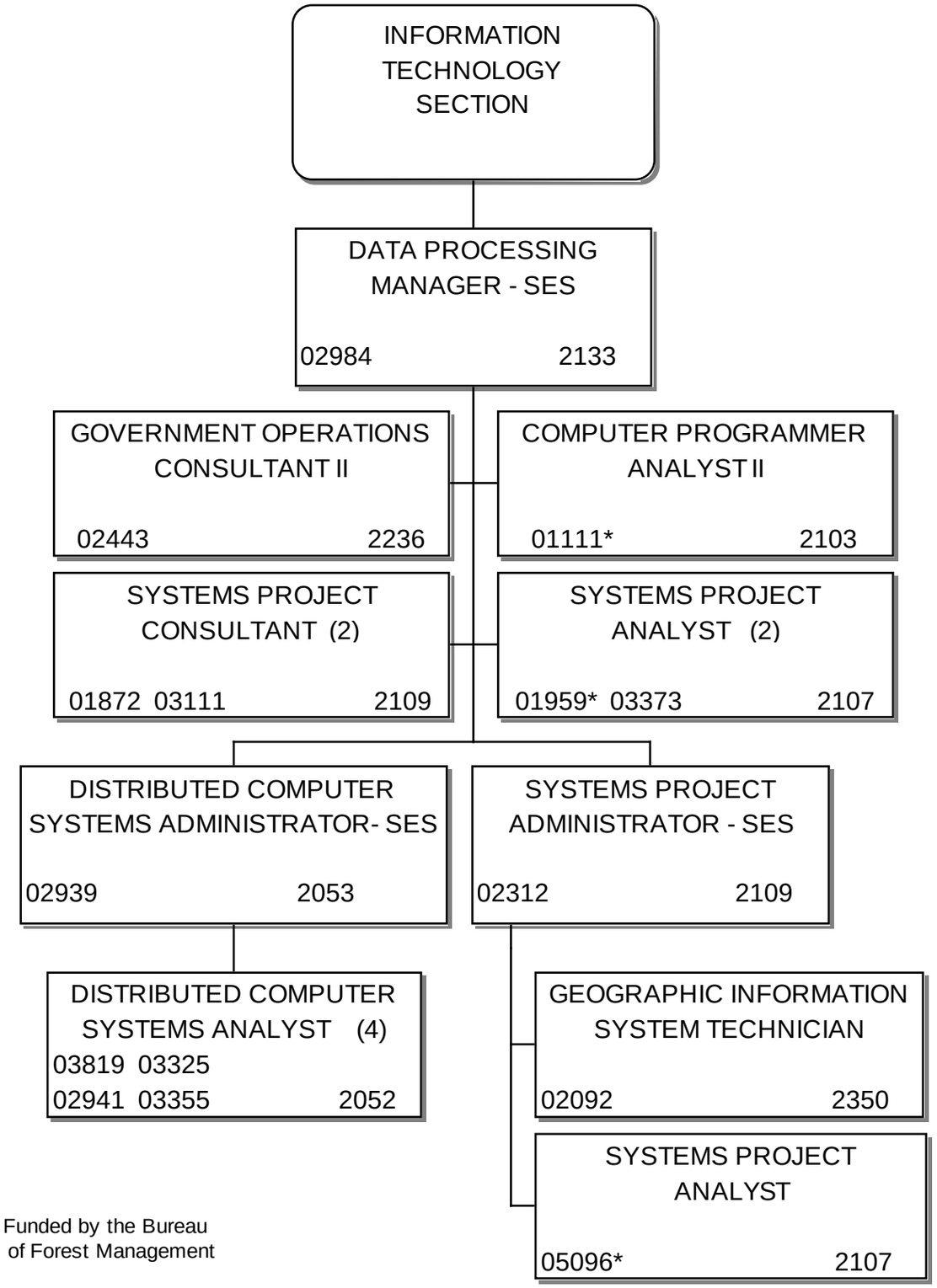
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



* Funded by the Bureau of Forest Management

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/29/2014

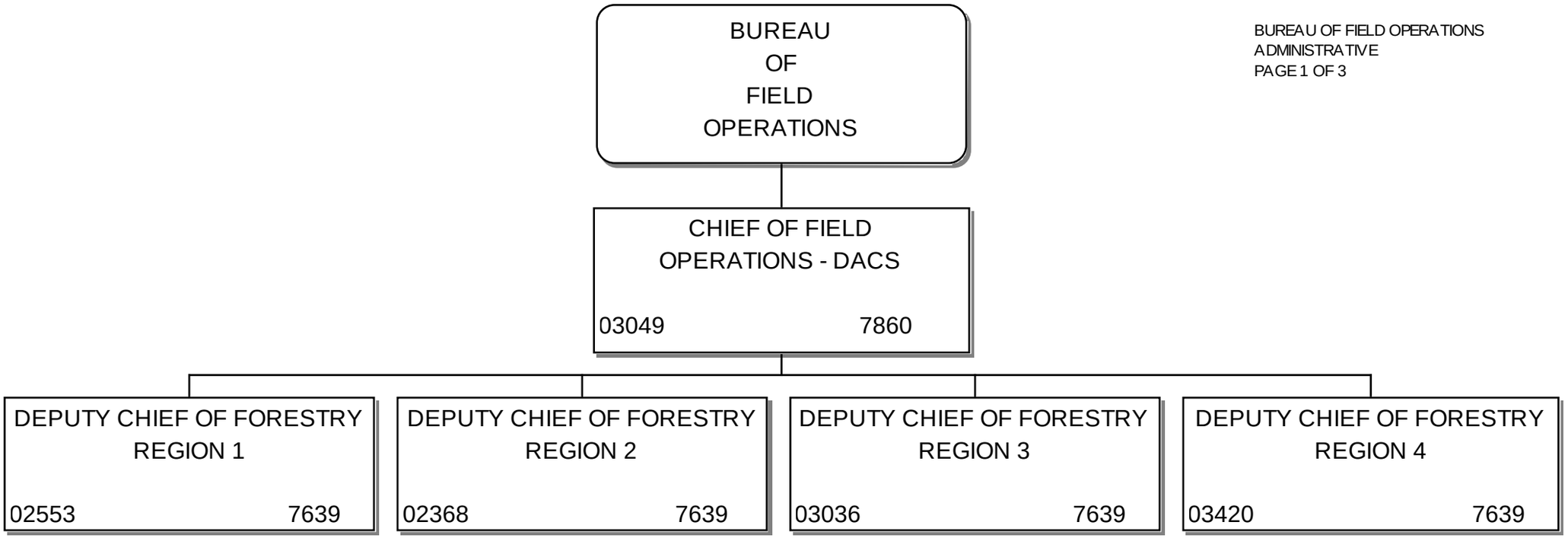
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



* Funded by the Bureau of Forest Management

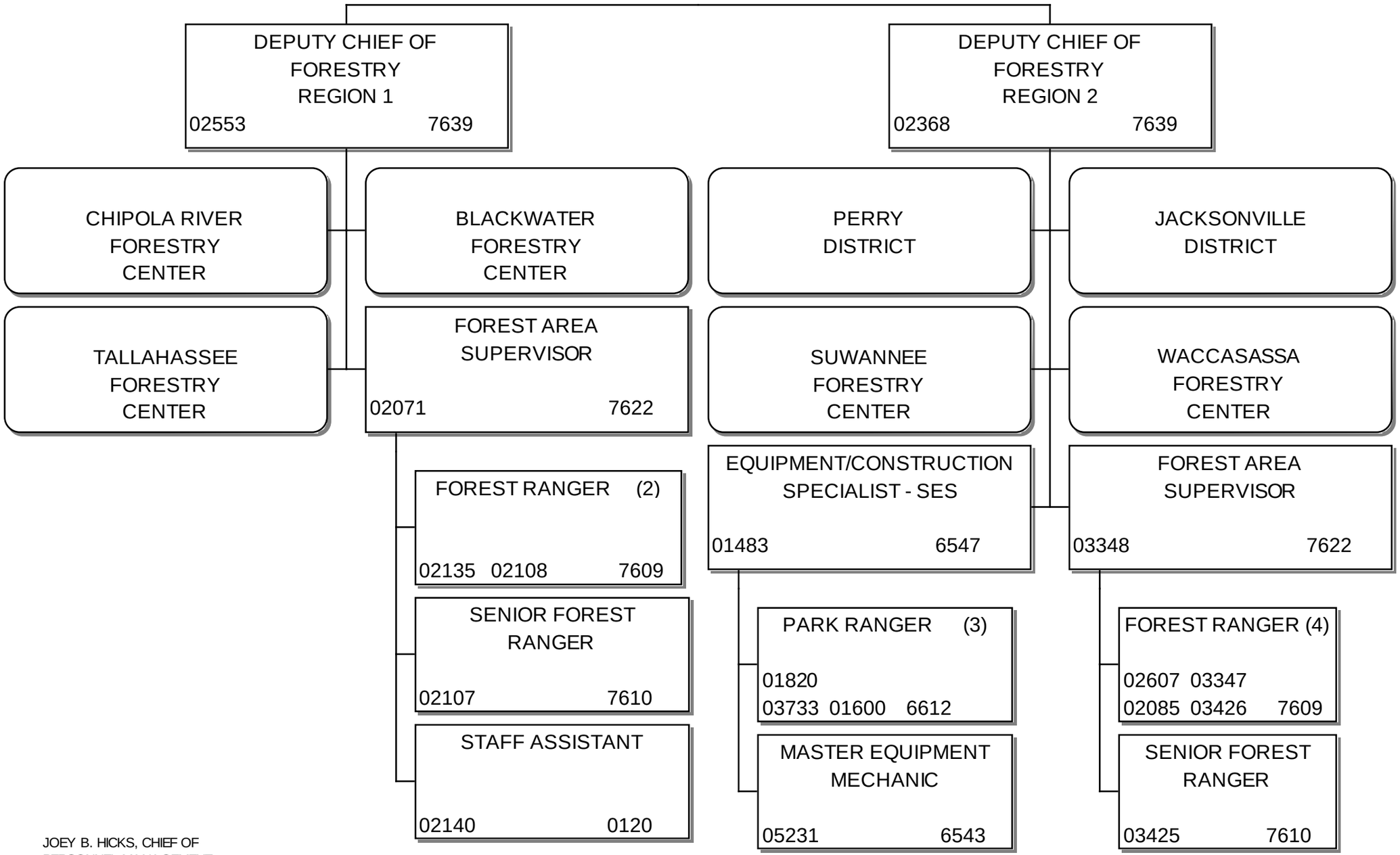
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 4/3/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



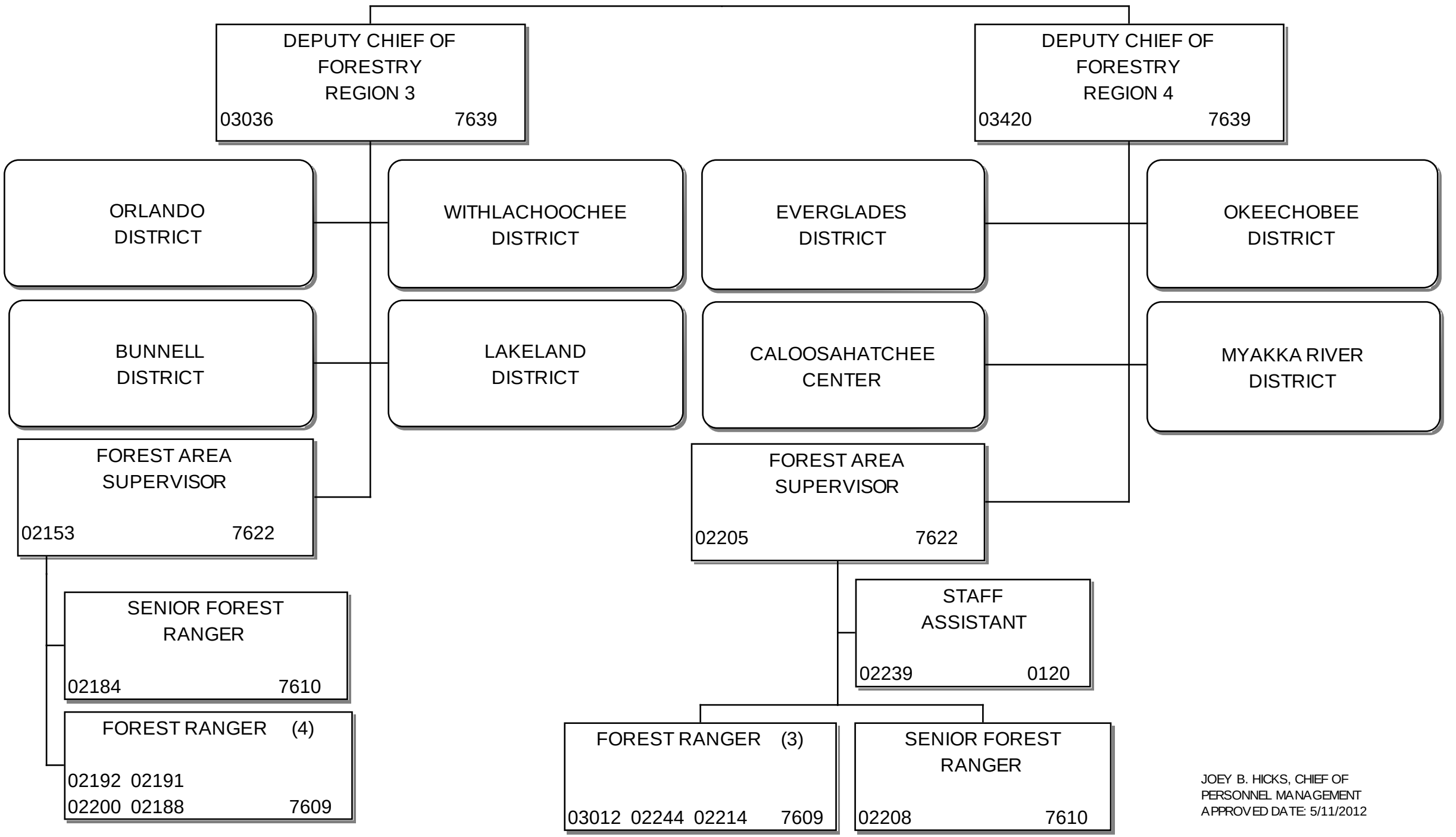
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/5/2014

DEPARTMENT OF AGRICULTURE
AND COSUMER SERVICES
FLORIDA FOREST SERVICE



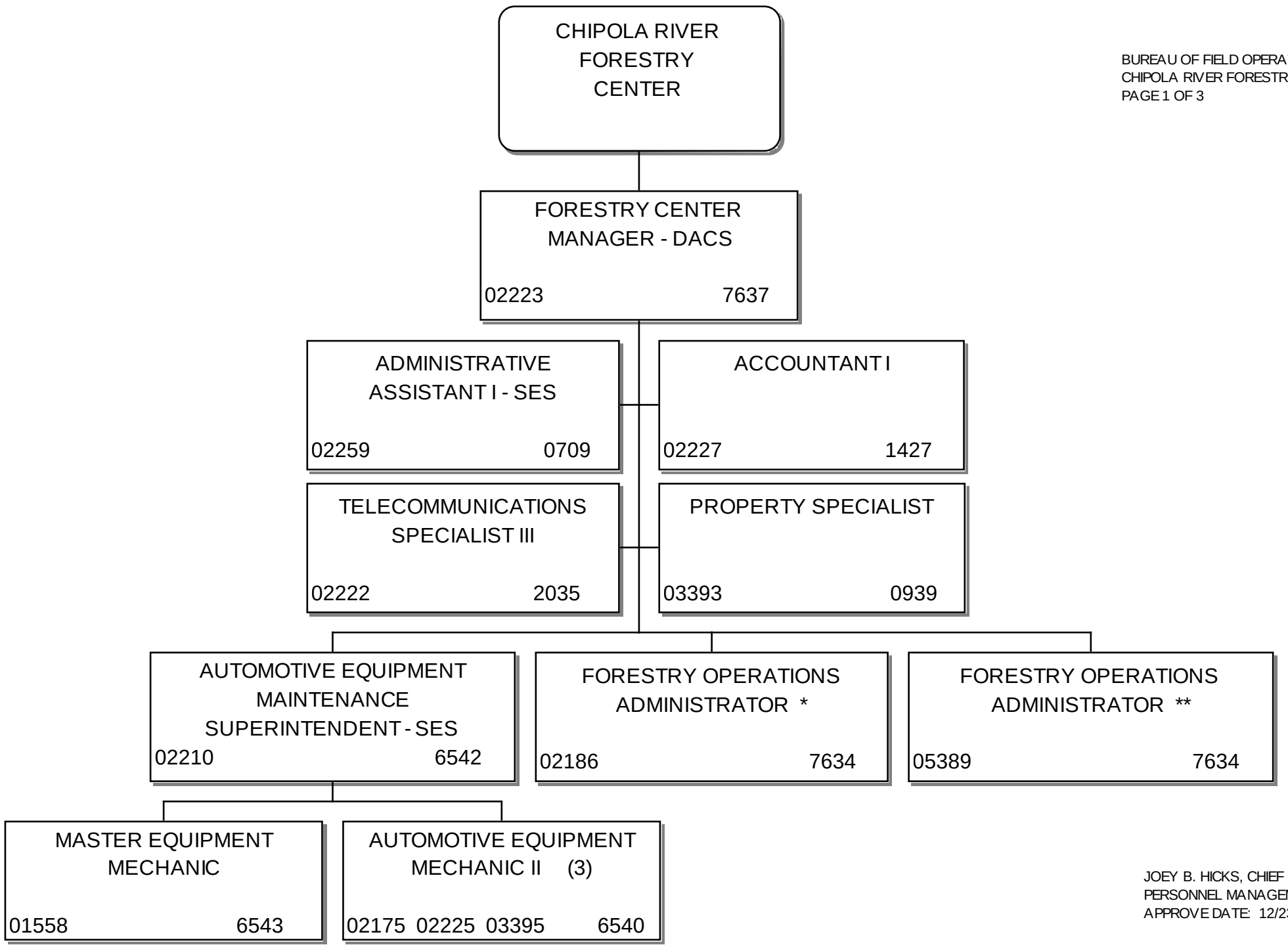
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/5/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/11/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

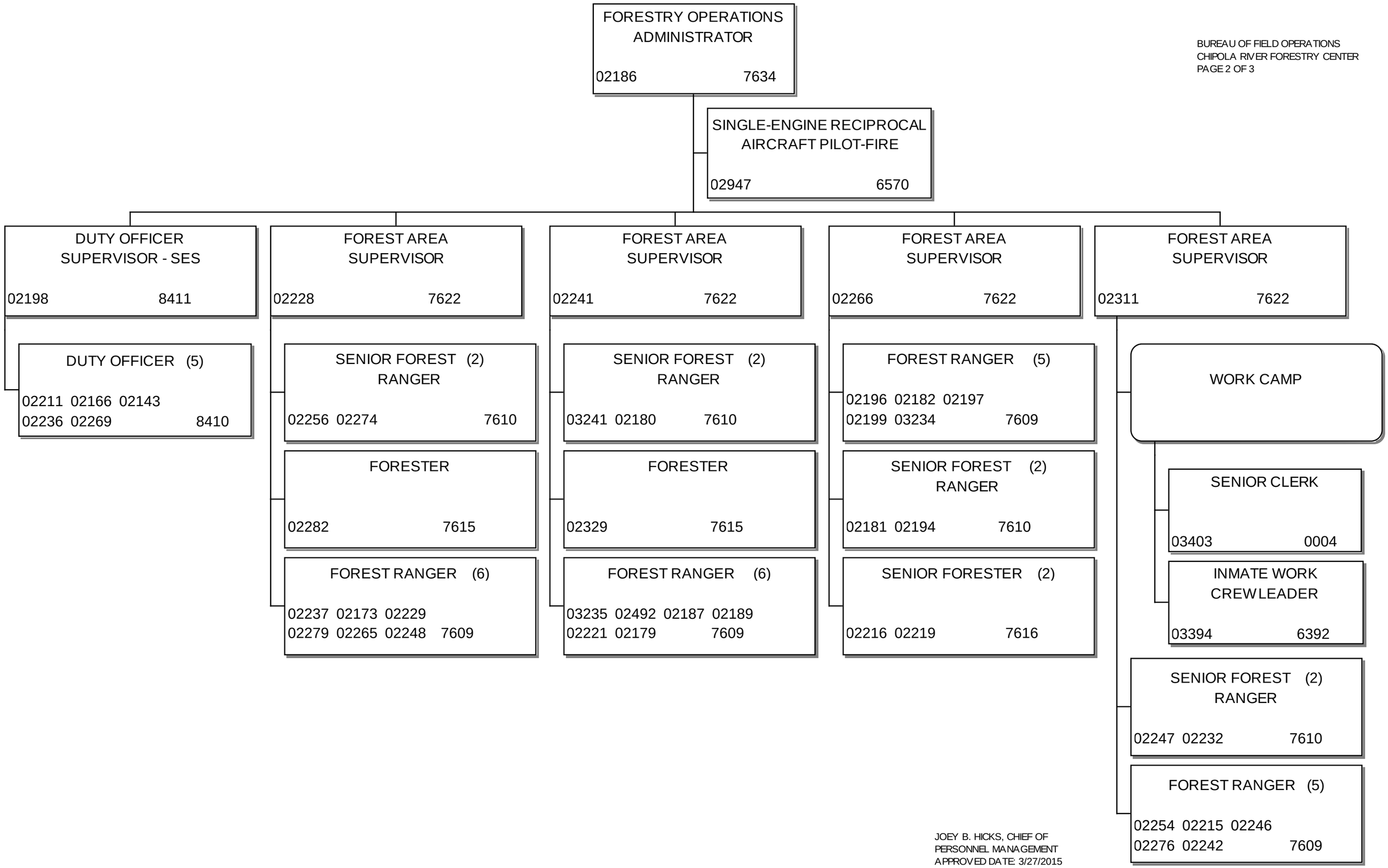


*SEE PAGE 2
**SEE PAGE 3

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVE DATE: 12/23/2011

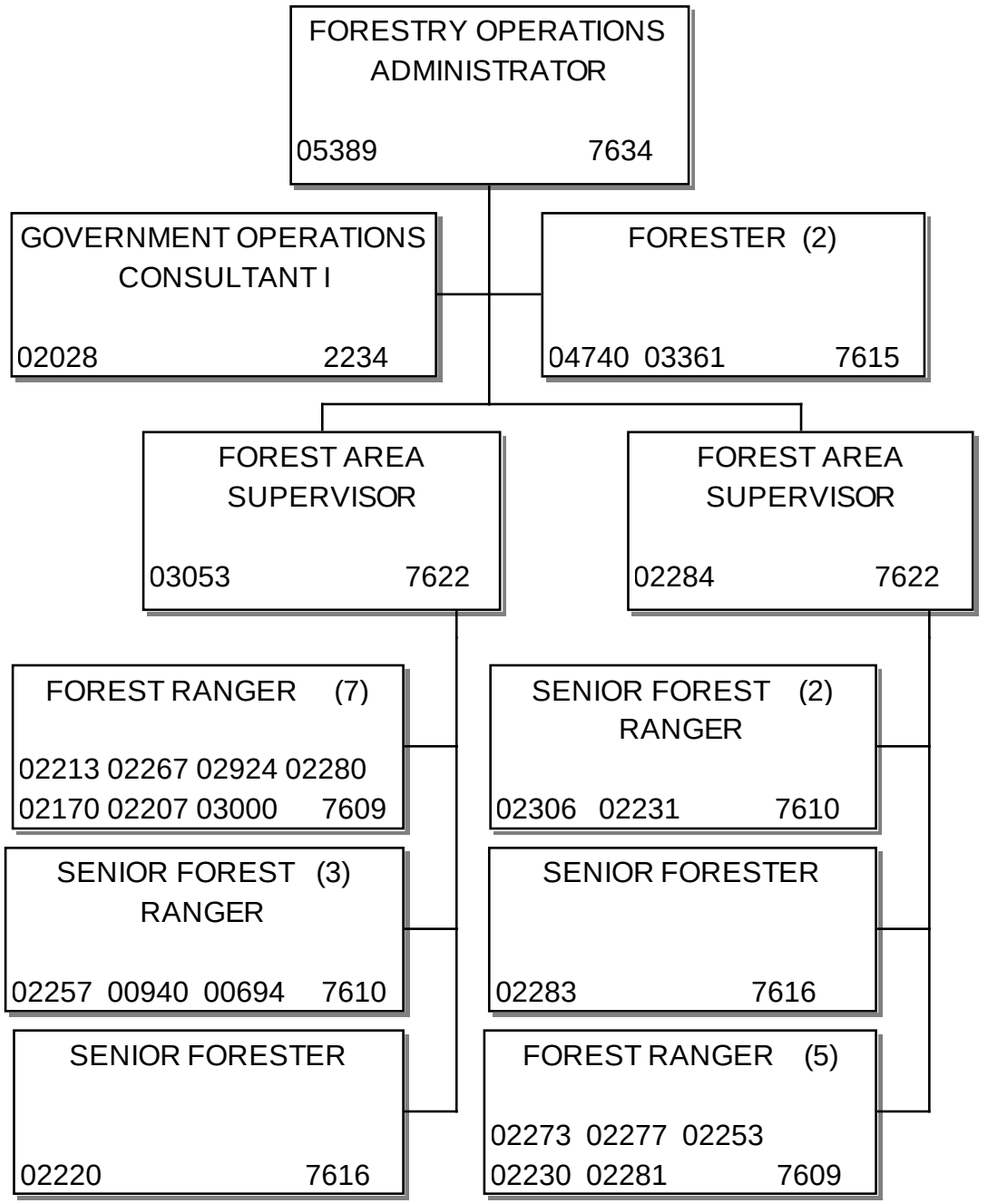
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS
CHIPOLA RIVER FORESTRY CENTER
PAGE 2 OF 3



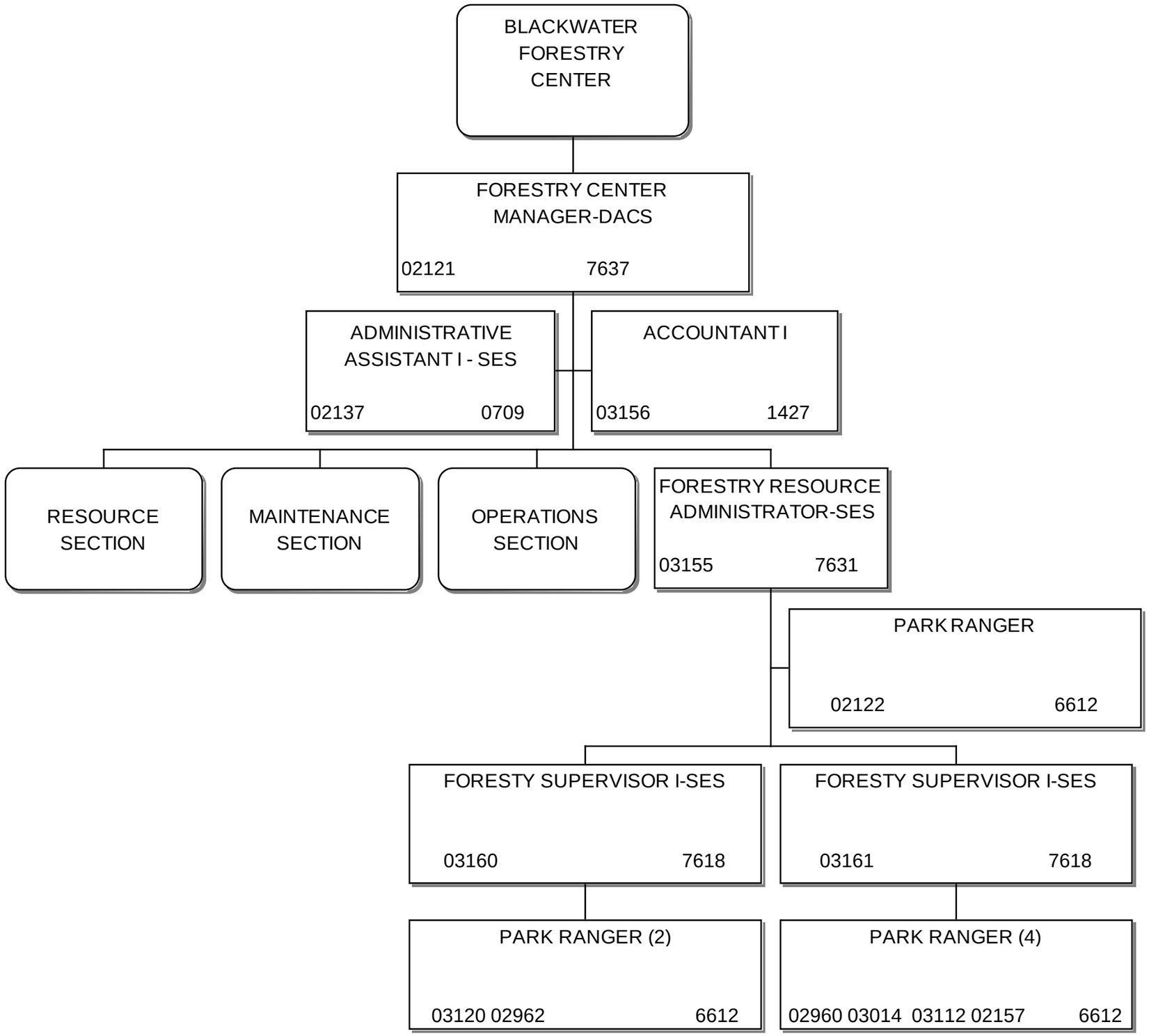
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/27/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



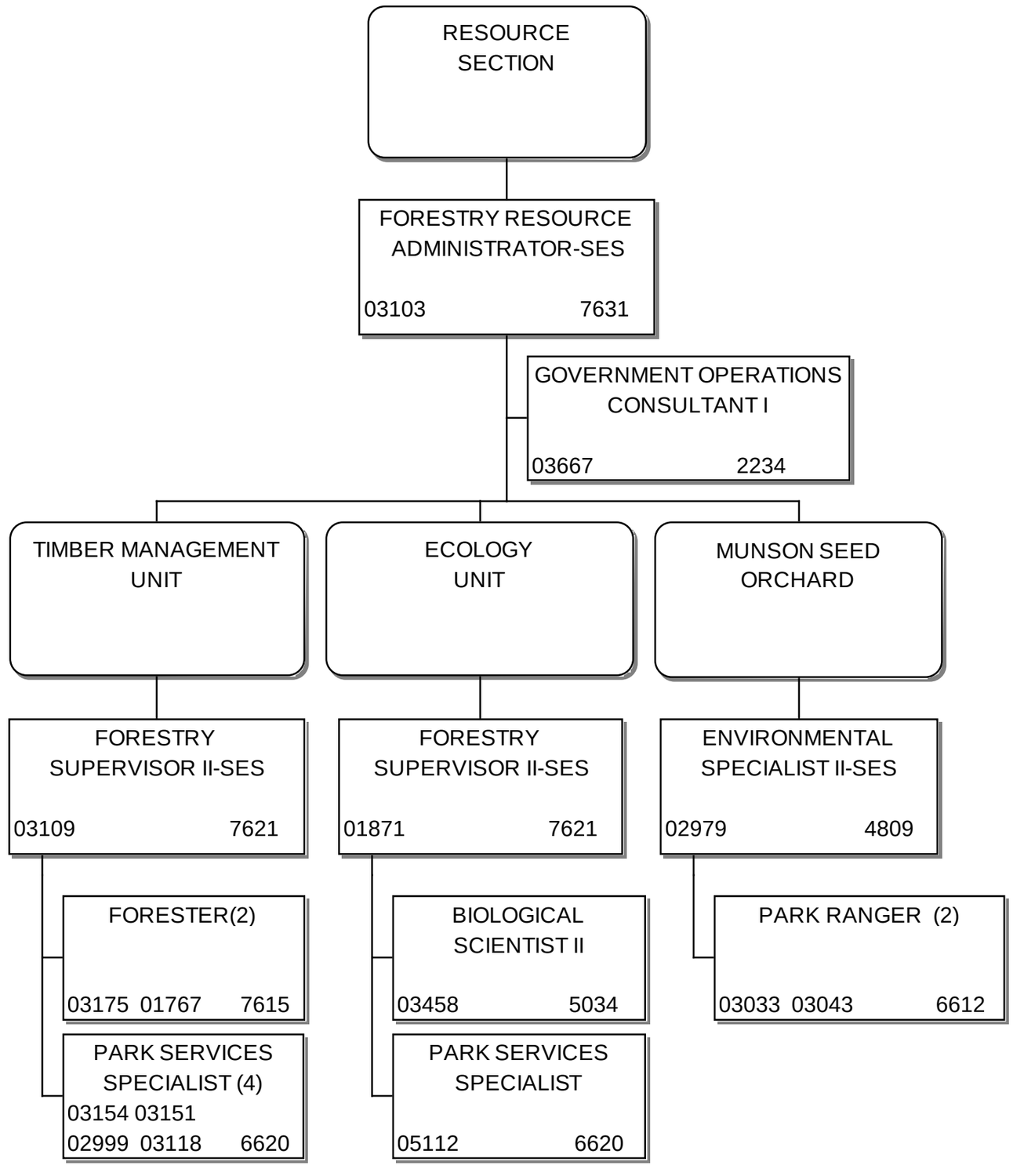
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/11/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



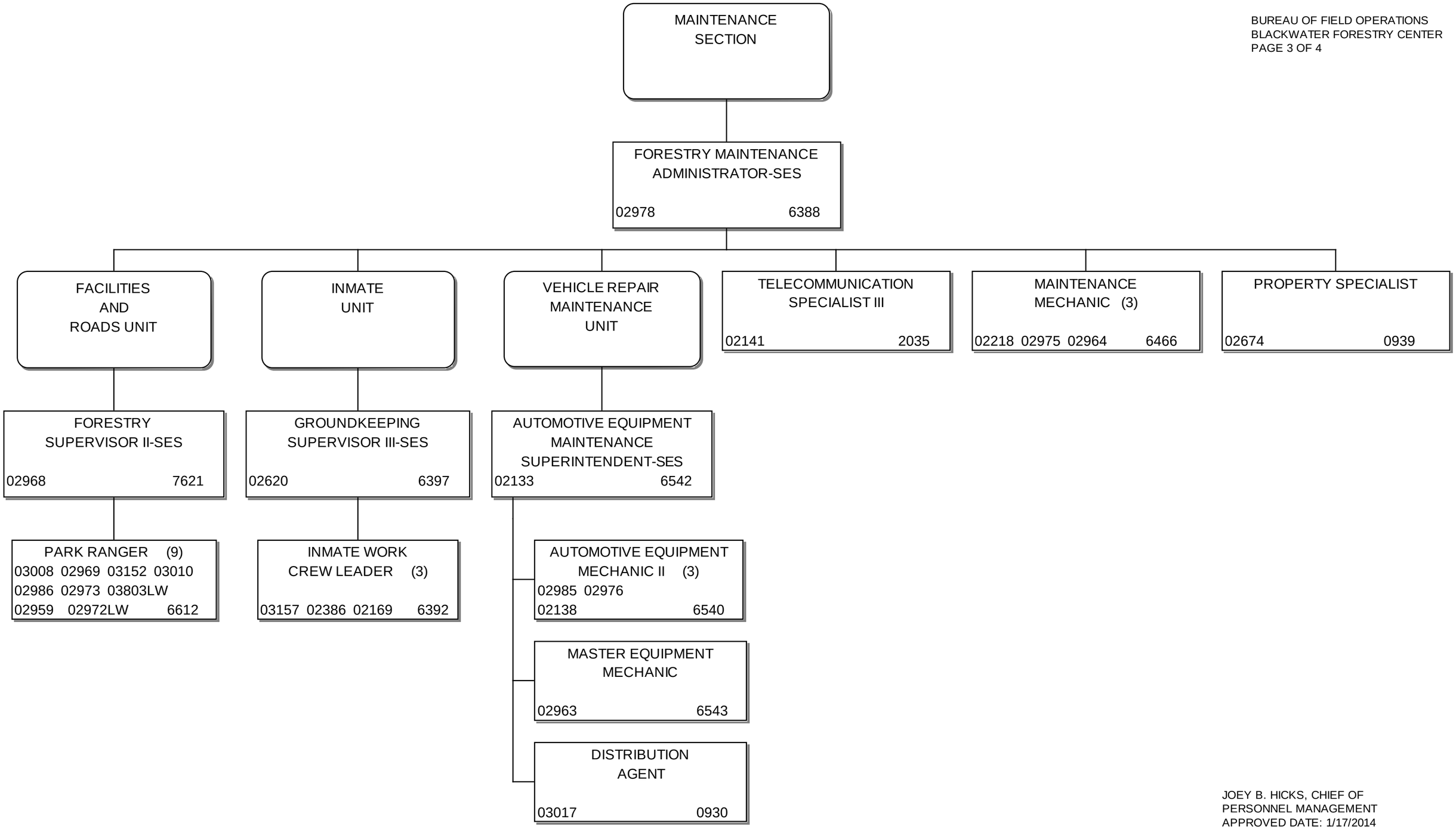
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/15/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



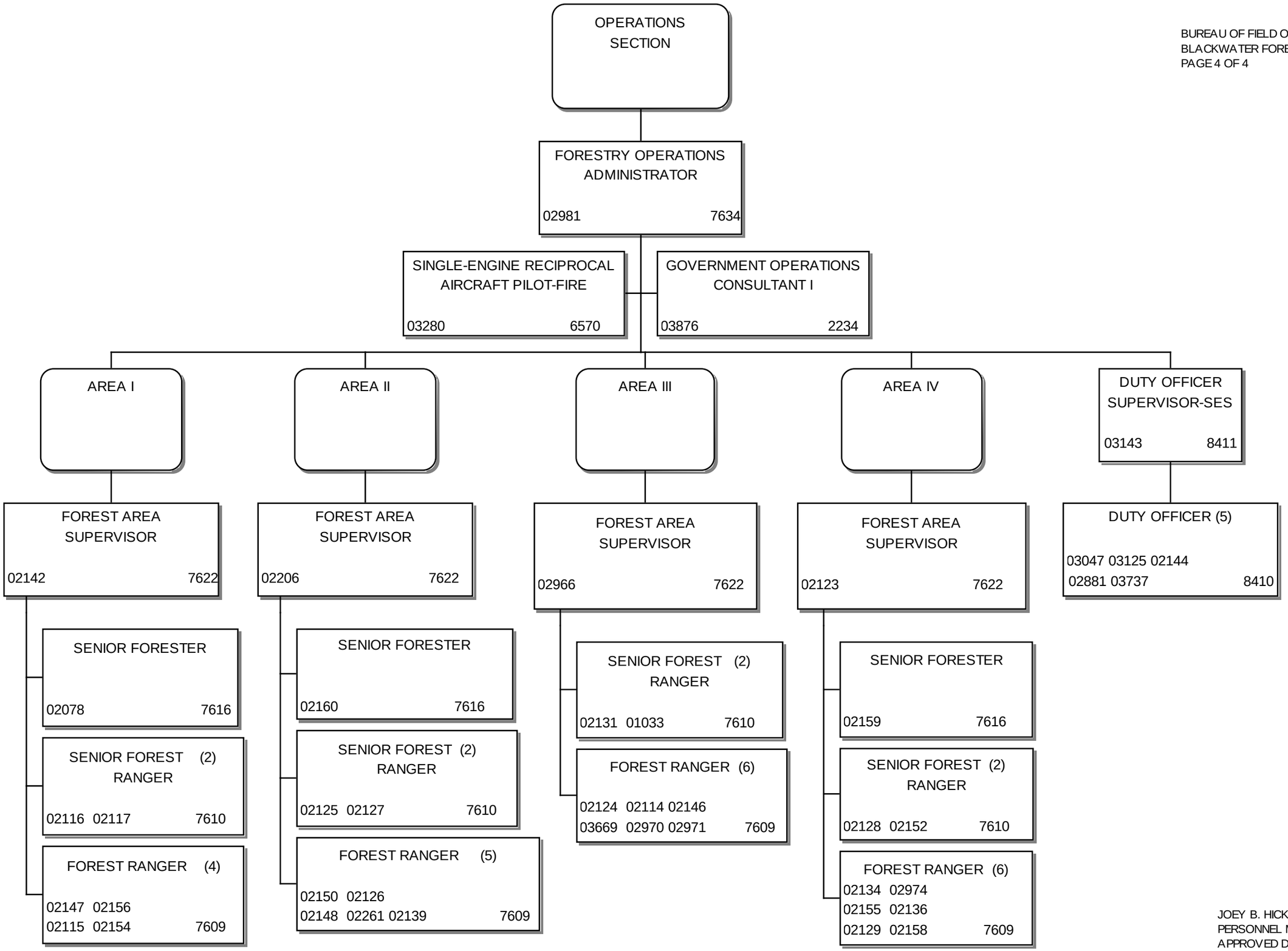
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/22/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



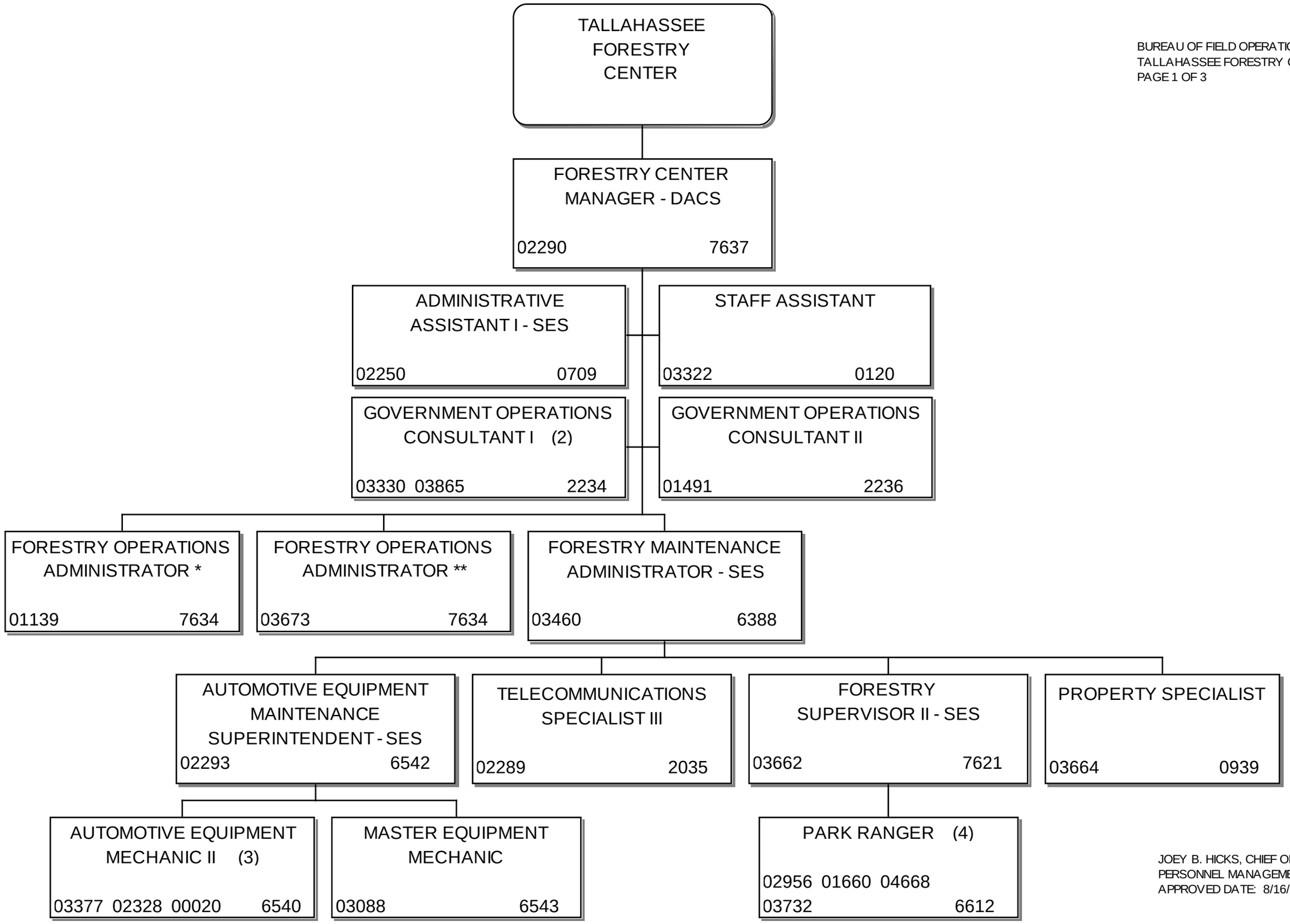
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 1/17/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/15/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

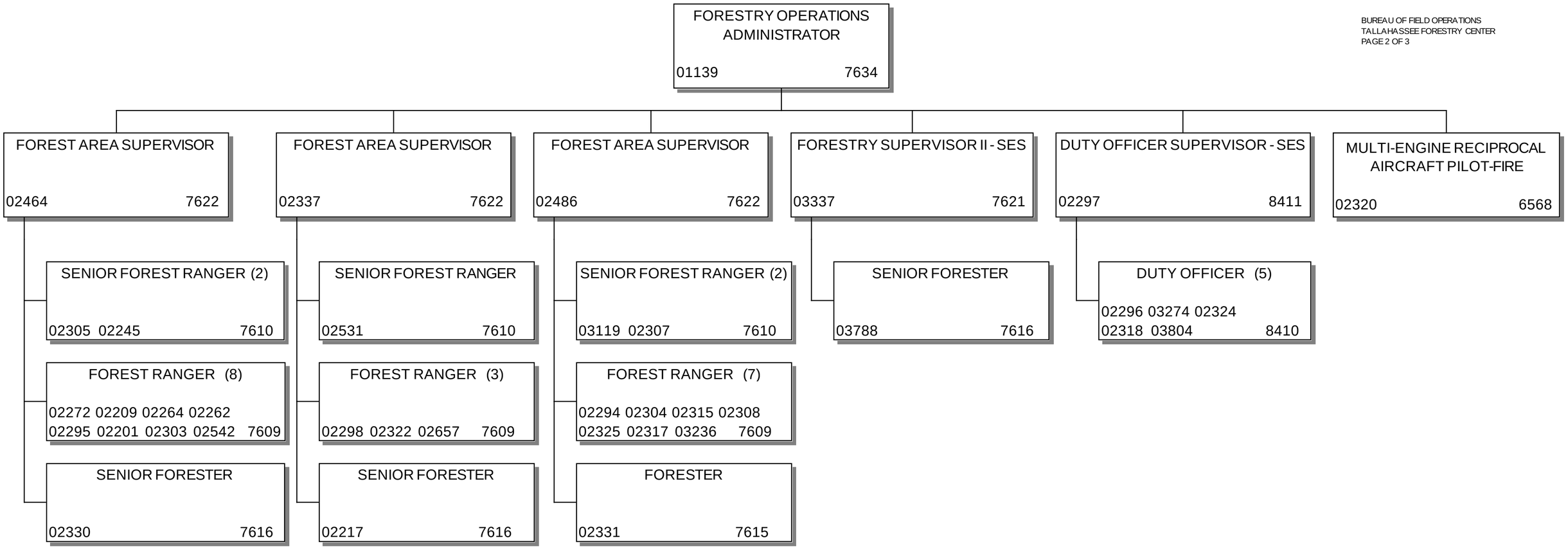


*SEE PAGE 2
**SEE PAGE 3

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/16/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

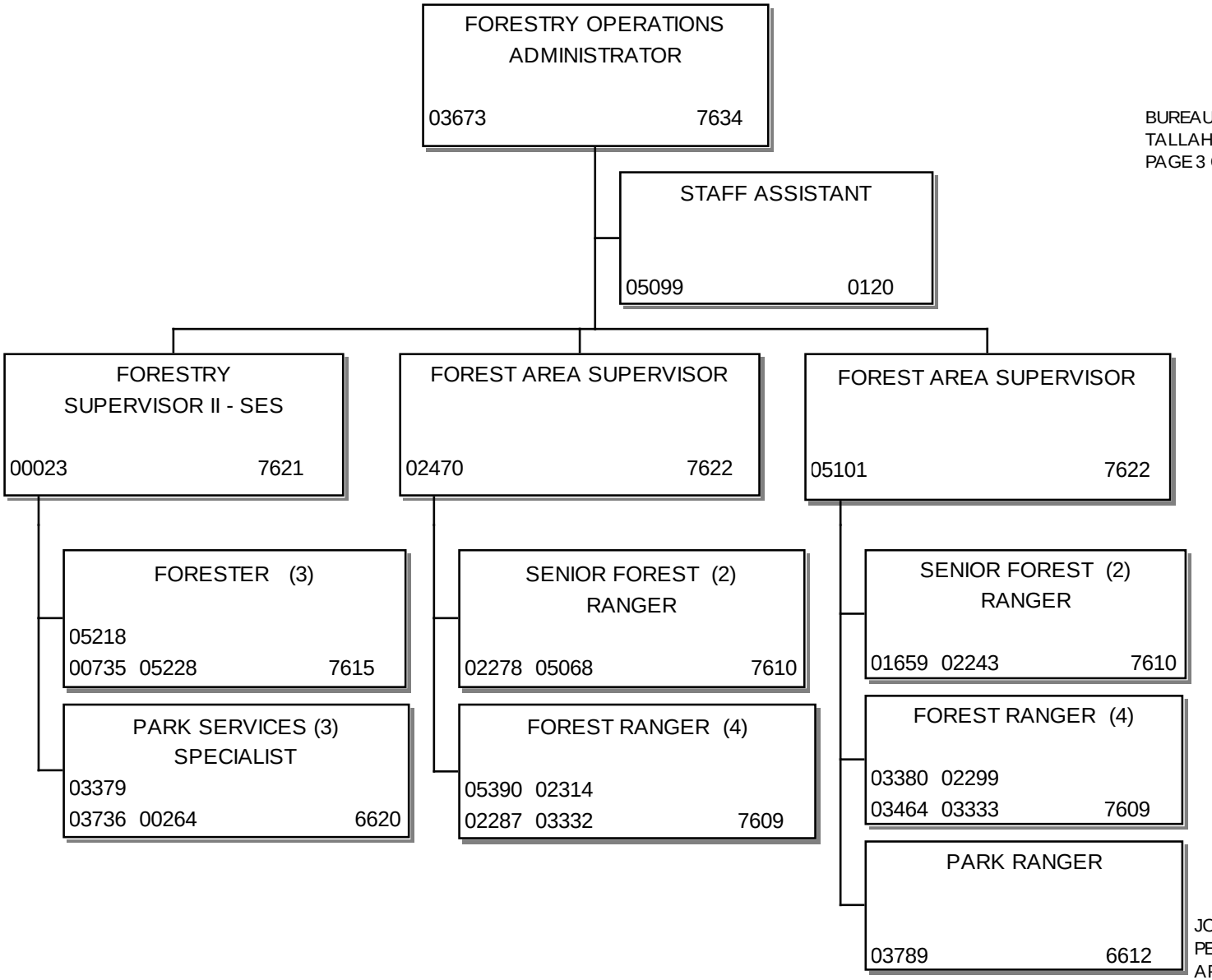
BUREAU OF FIELD OPERATIONS
TALLAHASSEE FORESTRY CENTER
PAGE 2 OF 3



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/25/2013

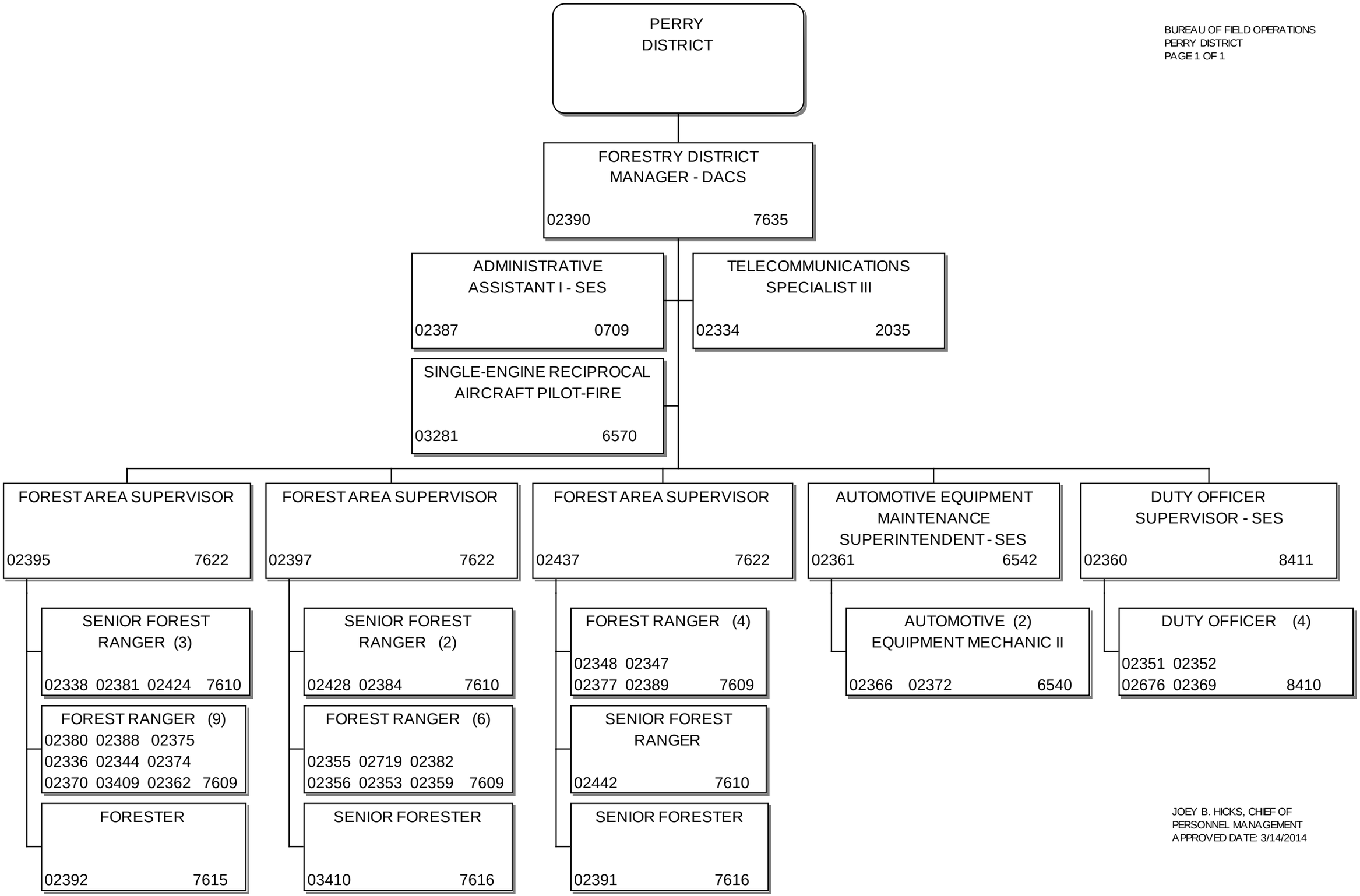
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS
TALLAHASSEE FORESTRY CENTER
PAGE 3 OF 3



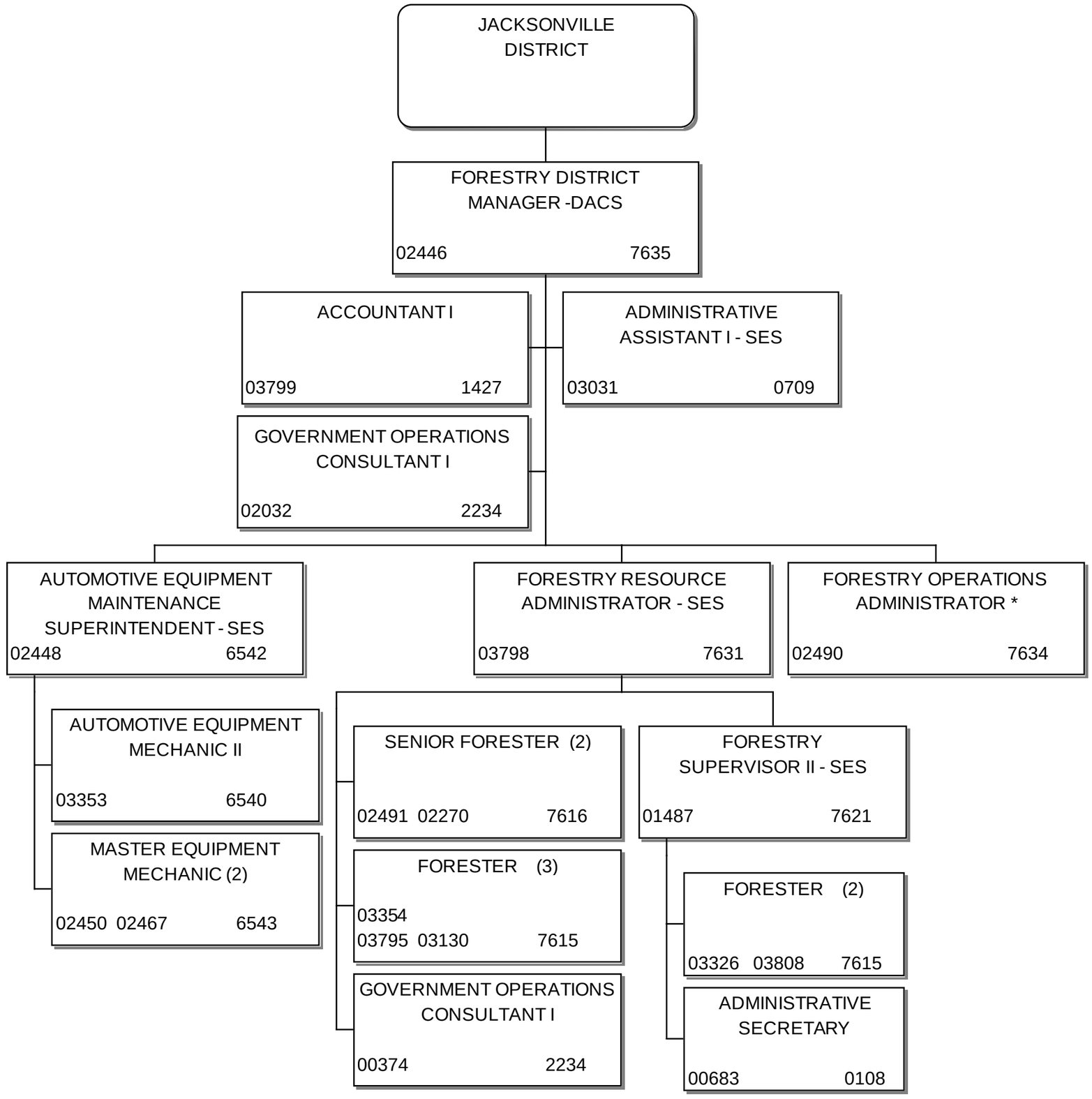
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 06/21/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/14/2014

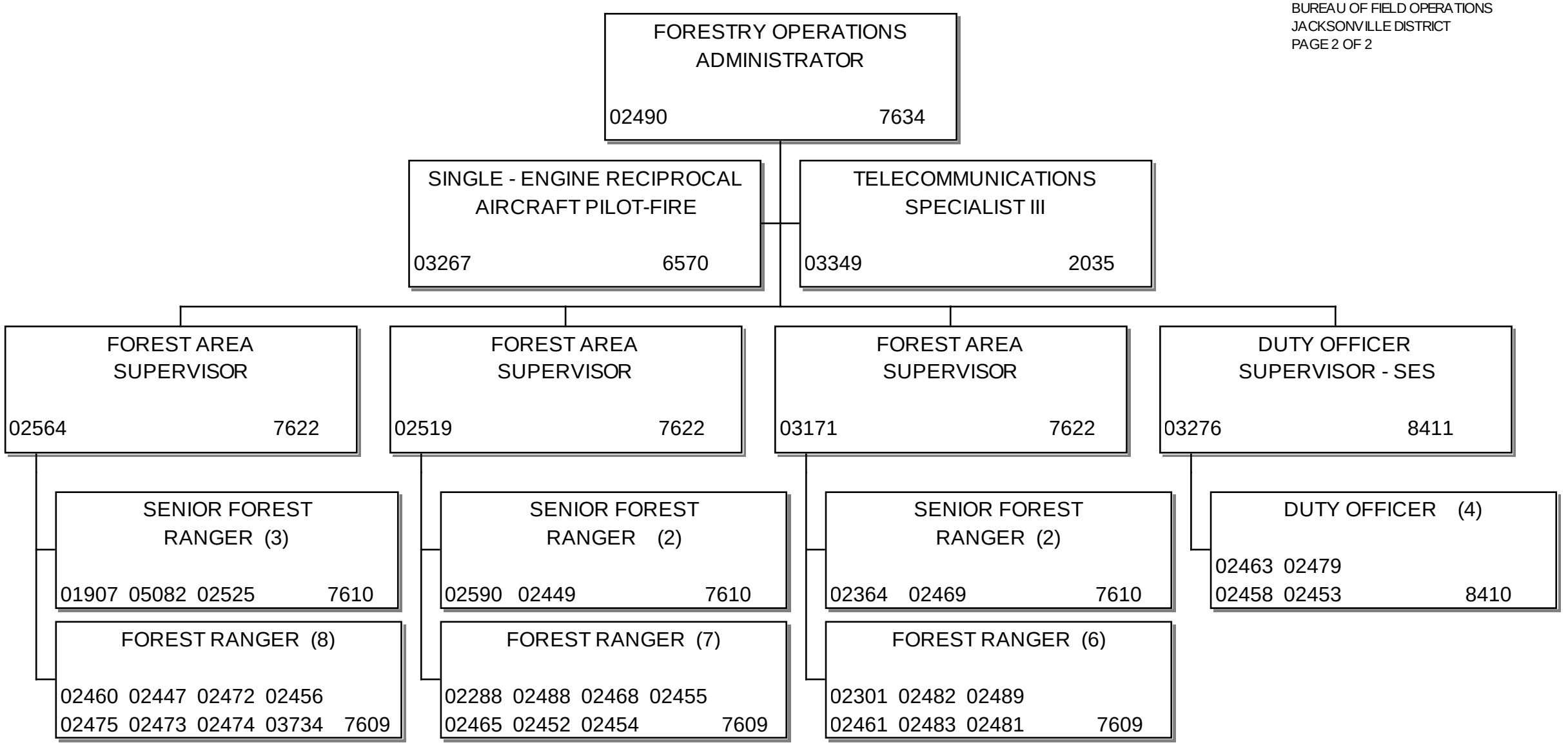
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



*SEE PAGE 2

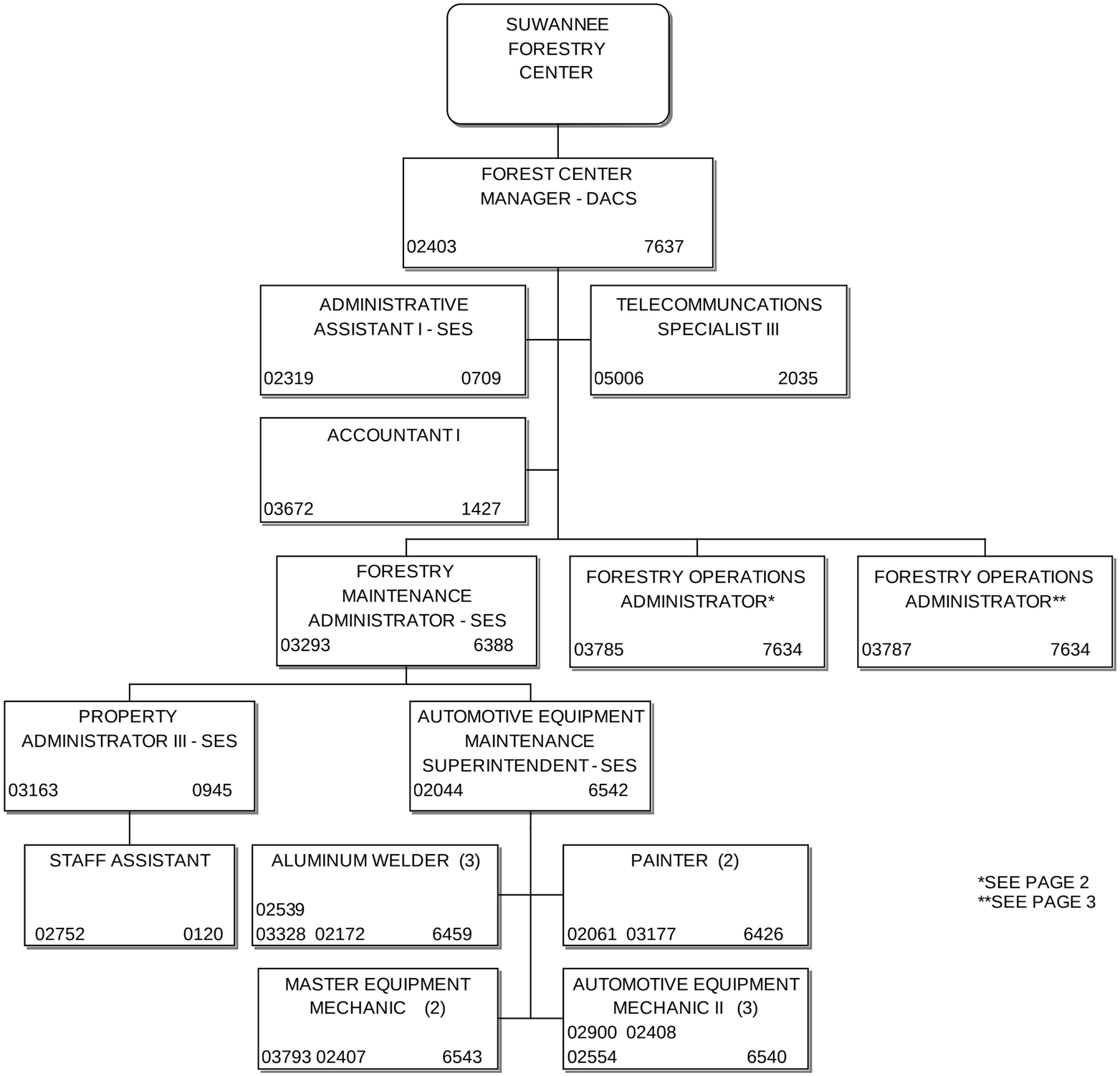
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/1/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/17/2012

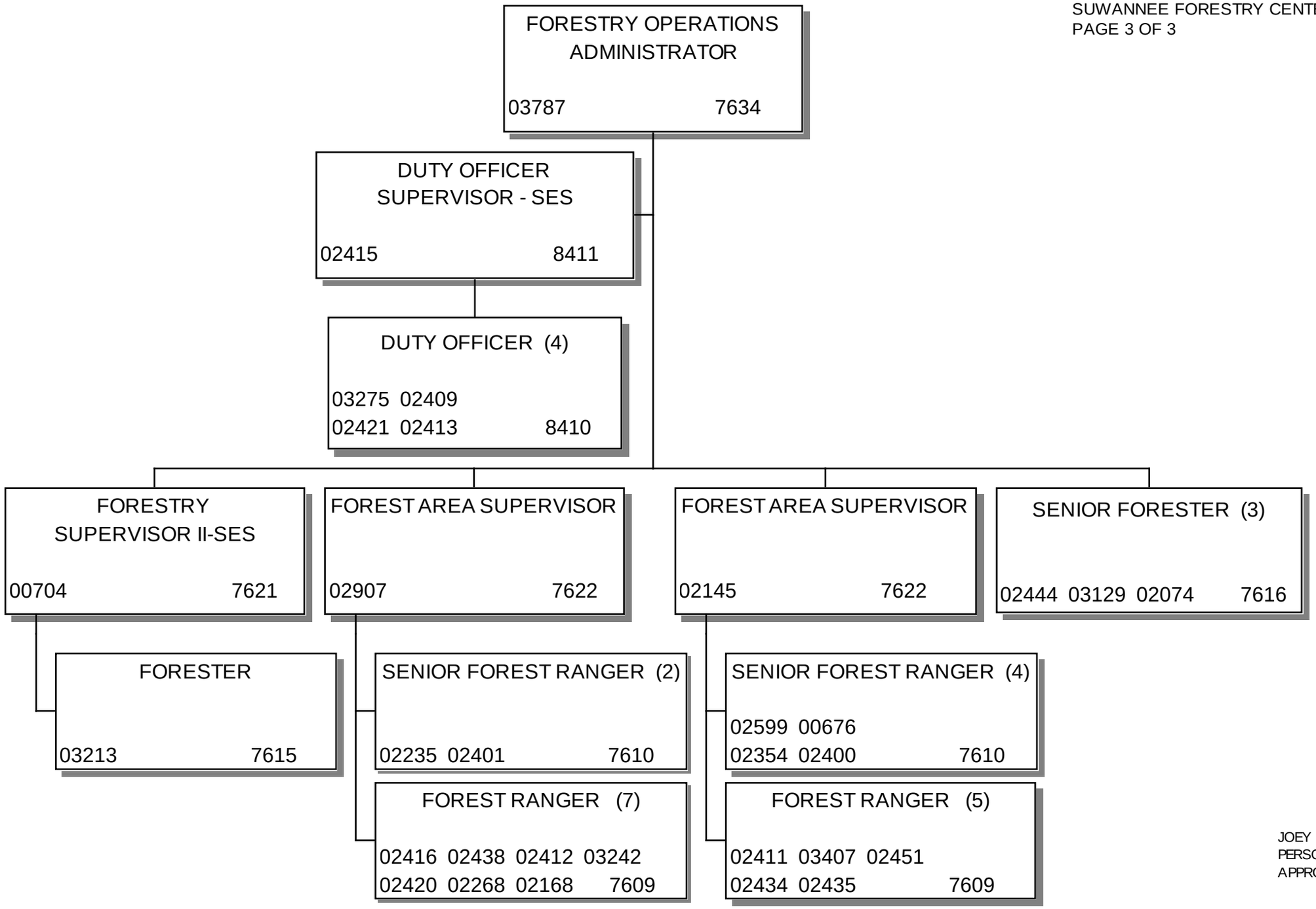
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



*SEE PAGE 2
**SEE PAGE 3

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/24/2014

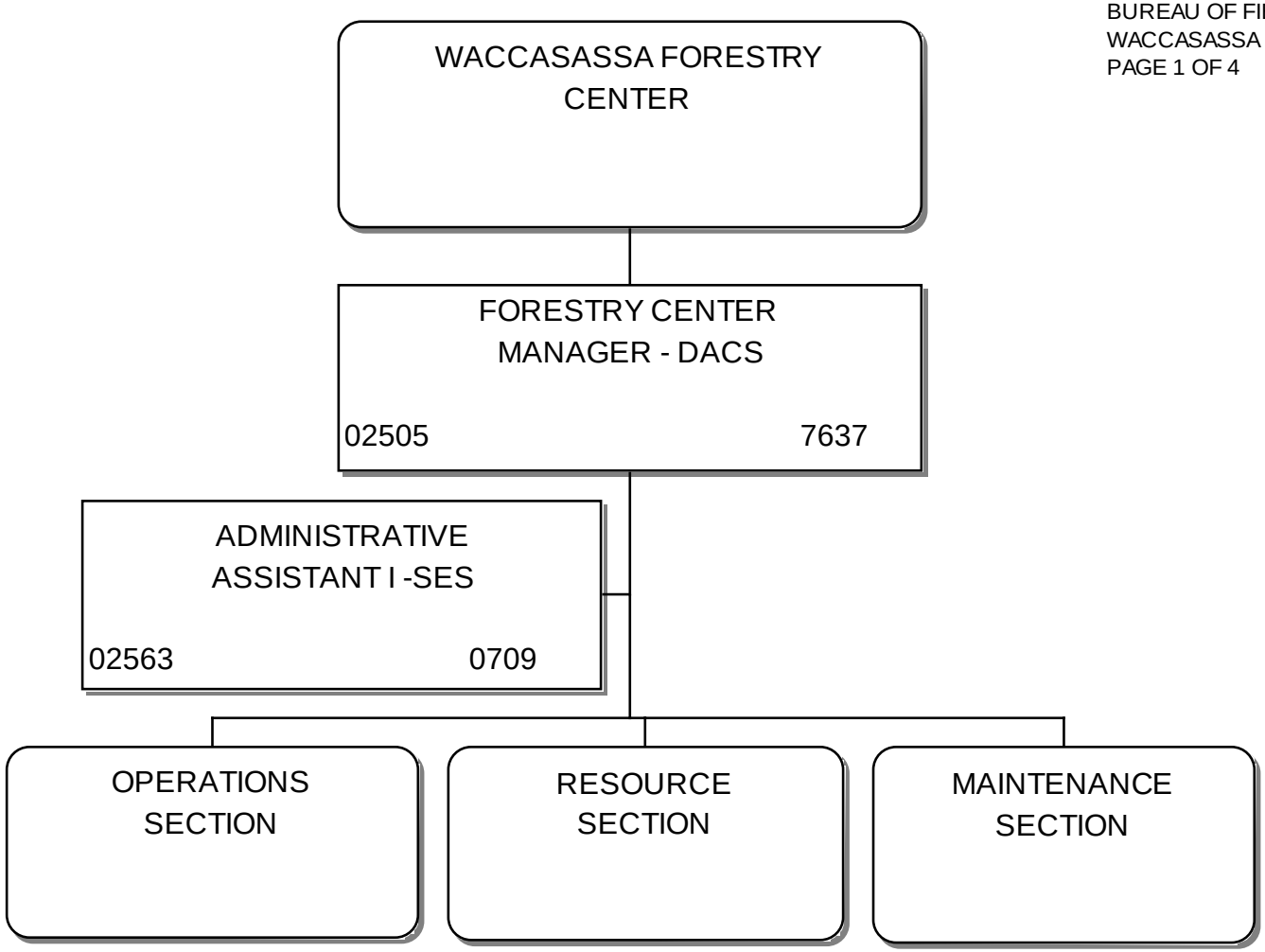
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 9/26/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

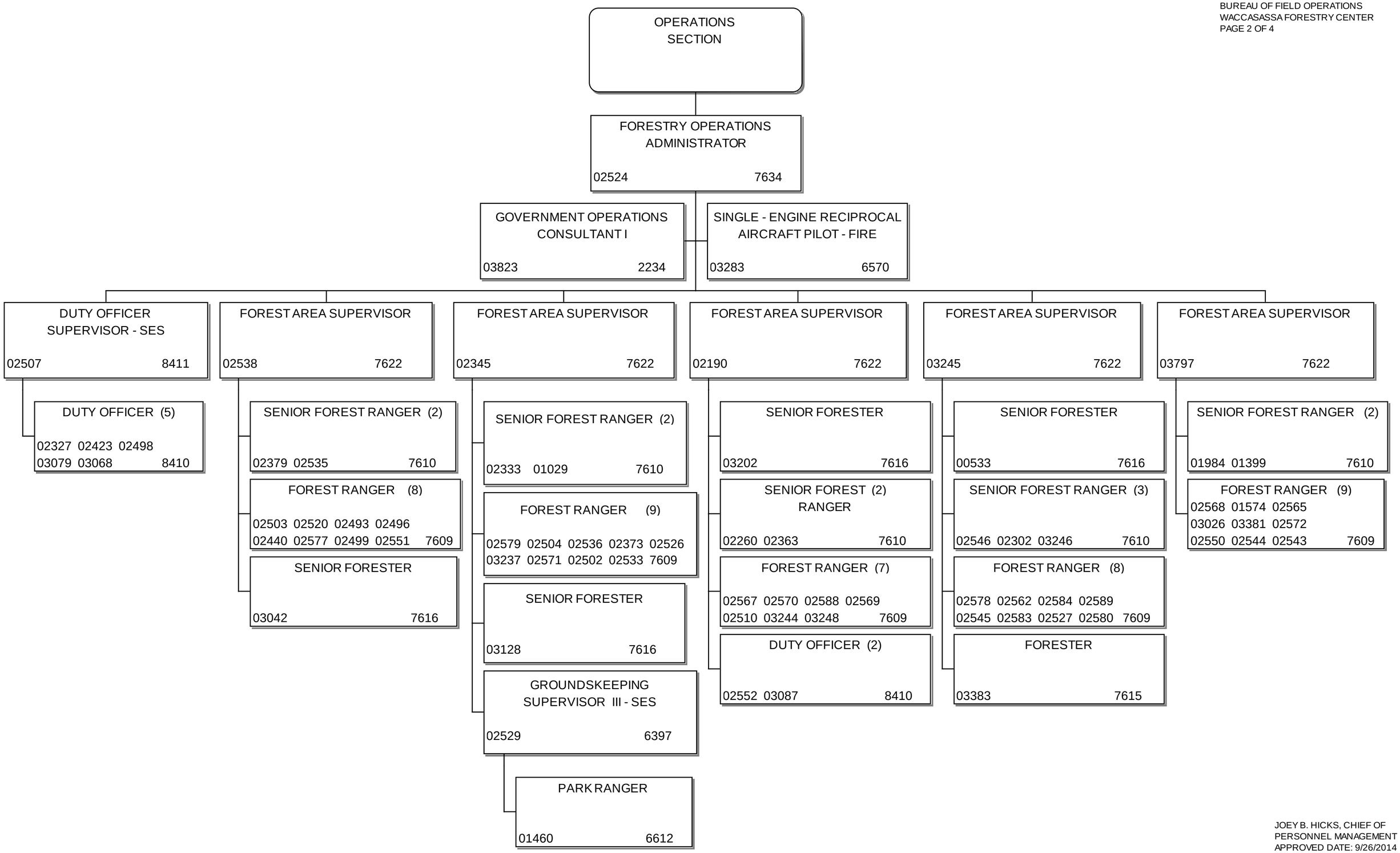
BUREAU OF FIELD OPERATIONS
WACCASASSA FORESTRY CENTER
PAGE 1 OF 4



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 2/1/2013

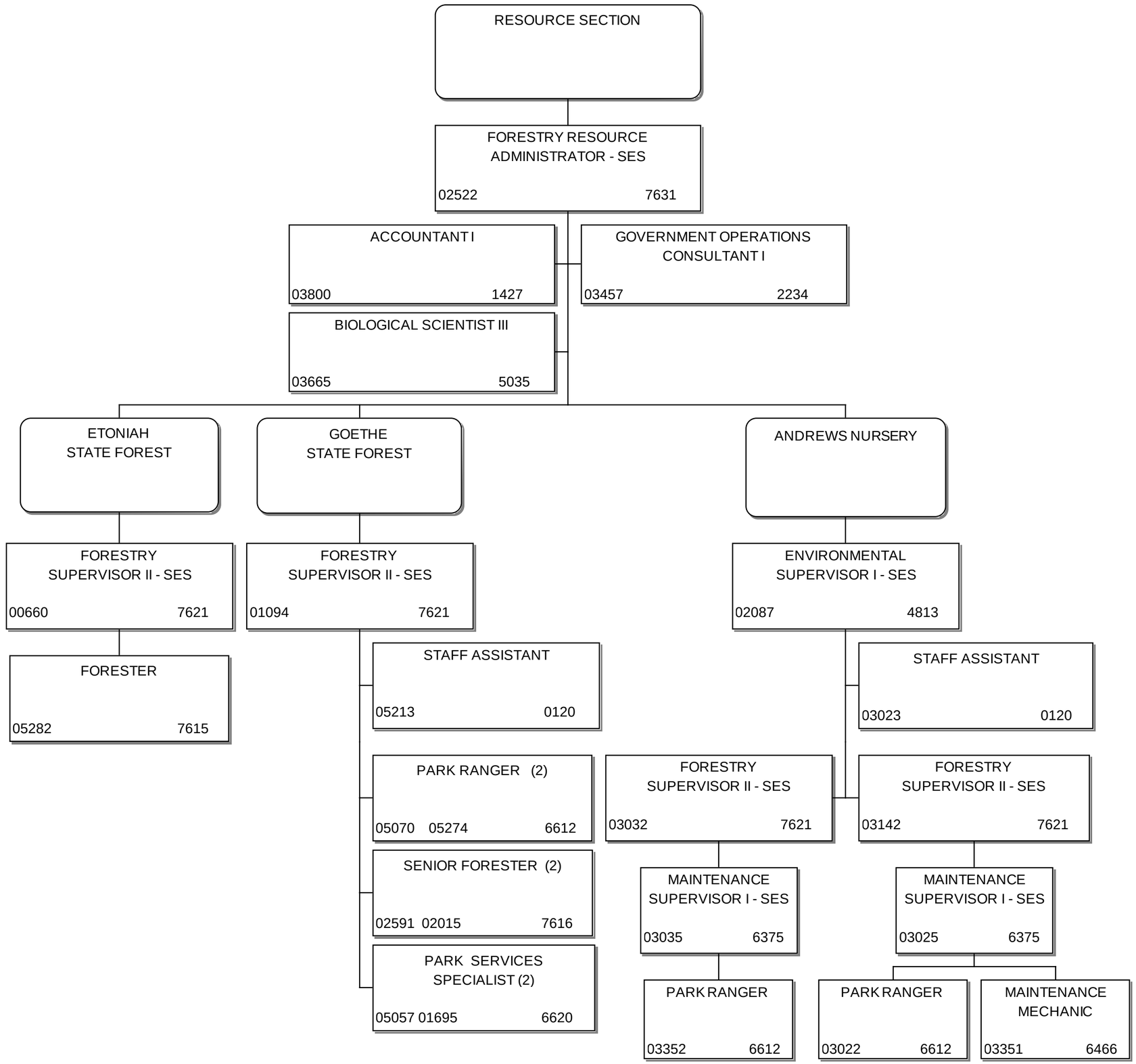
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS
WACCASASSA FORESTRY CENTER
PAGE 2 OF 4



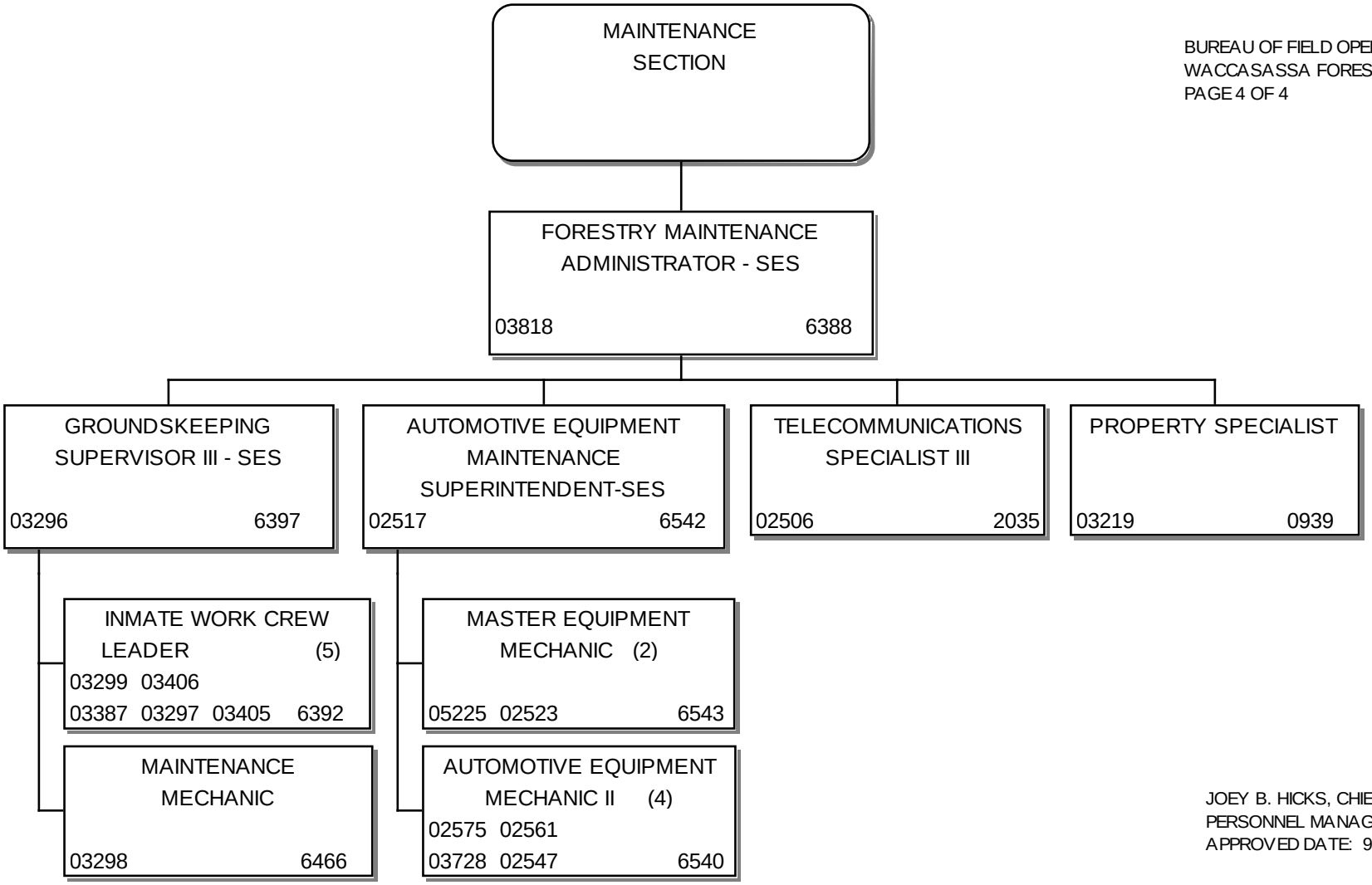
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 9/26/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/18/2014

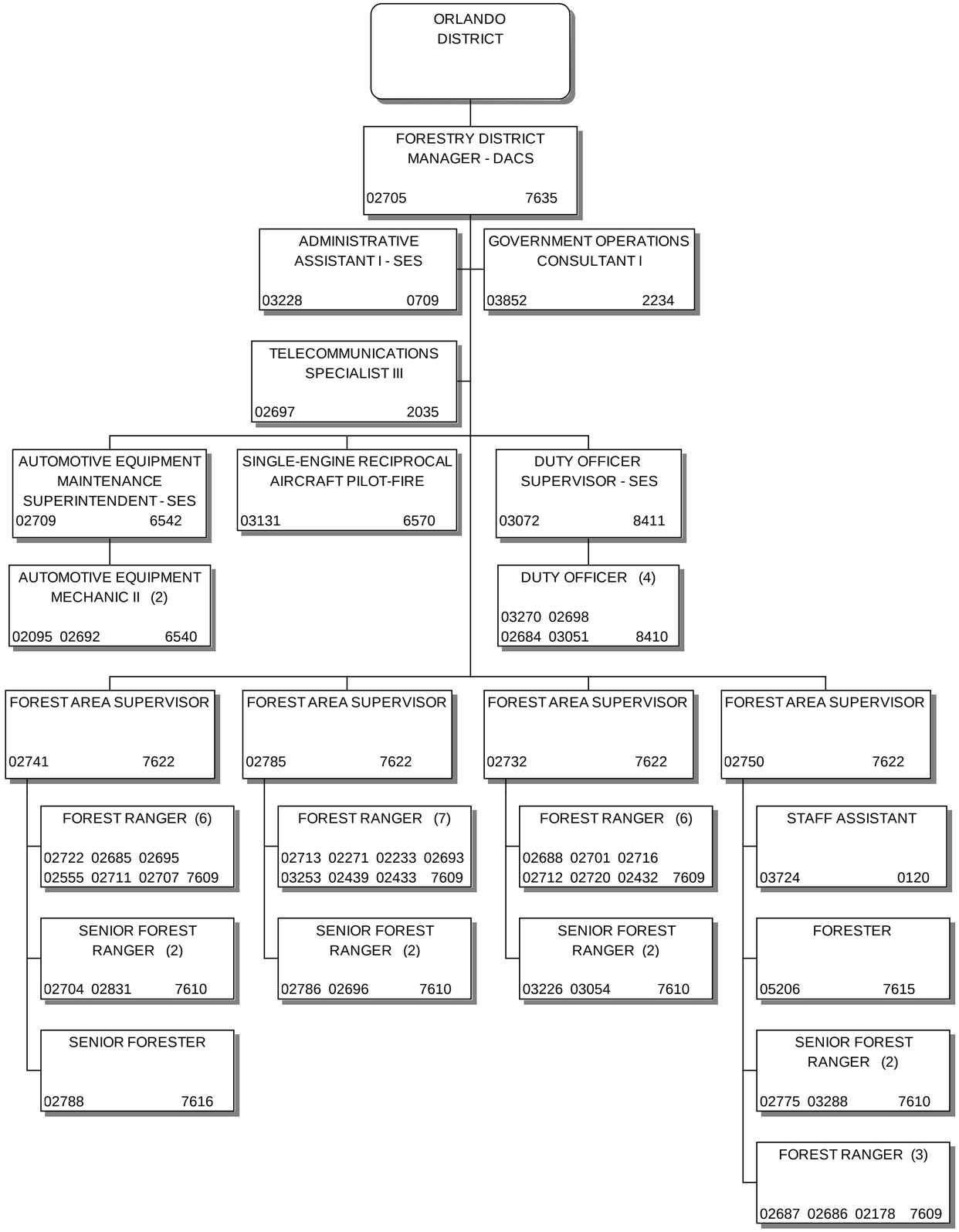
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



BUREAU OF FIELD OPERATIONS
WACCASASSA FORESTRY CENTER
PAGE 4 OF 4

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 9/26/2014

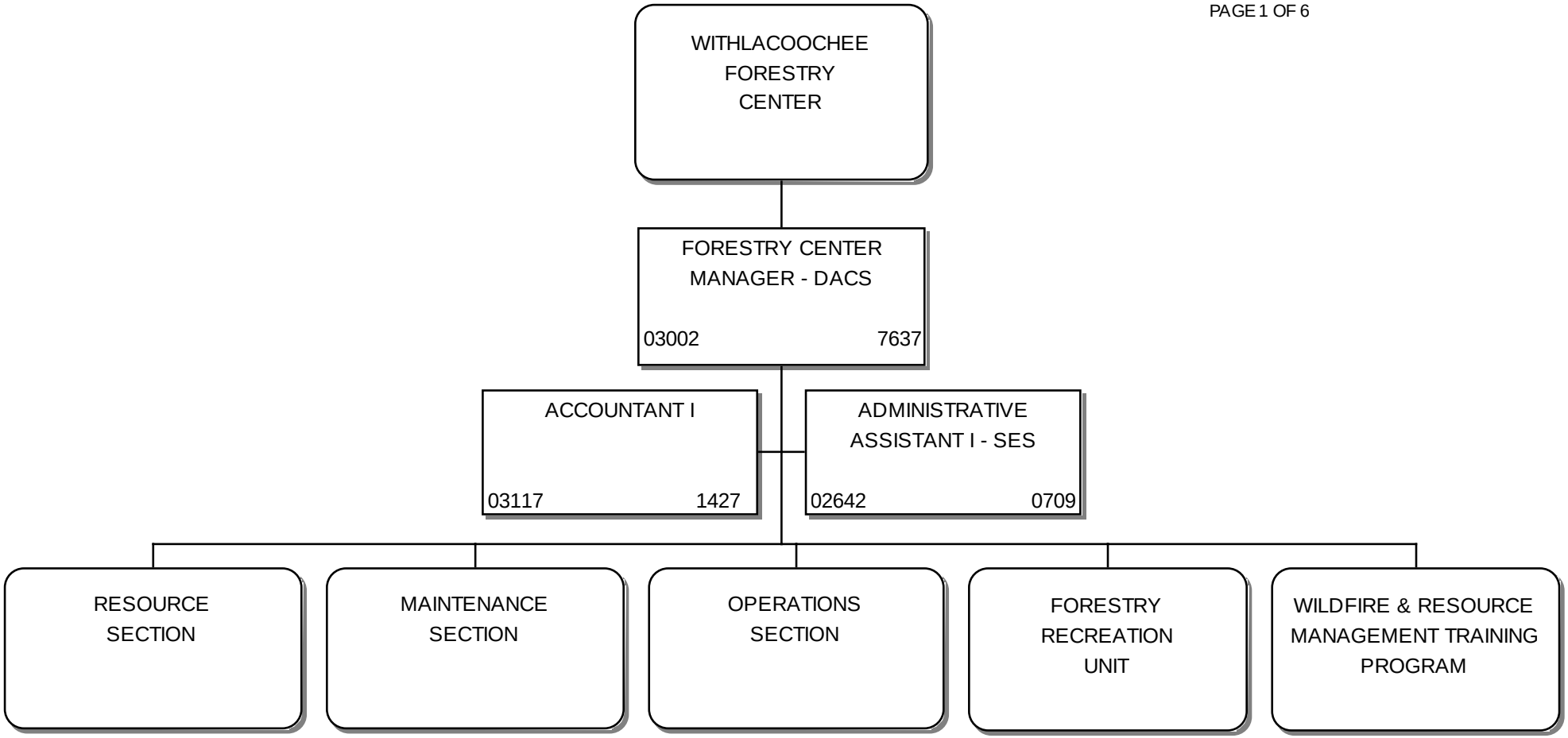
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 08/29/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

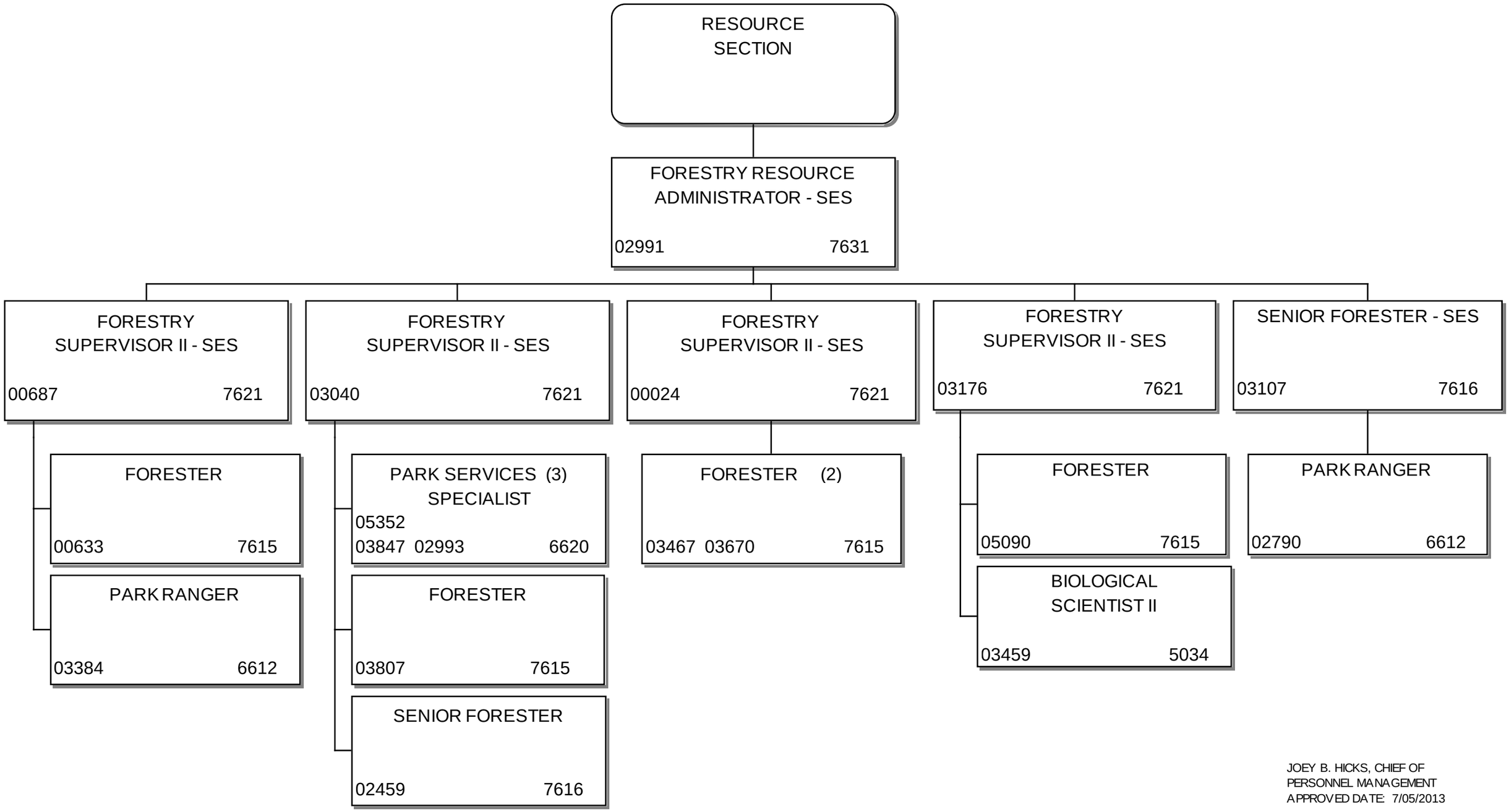
BUREAU OF FIELD OPERATIONS
WITHLACOOCHEE FORESTRY CENTER



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 6/22/2012

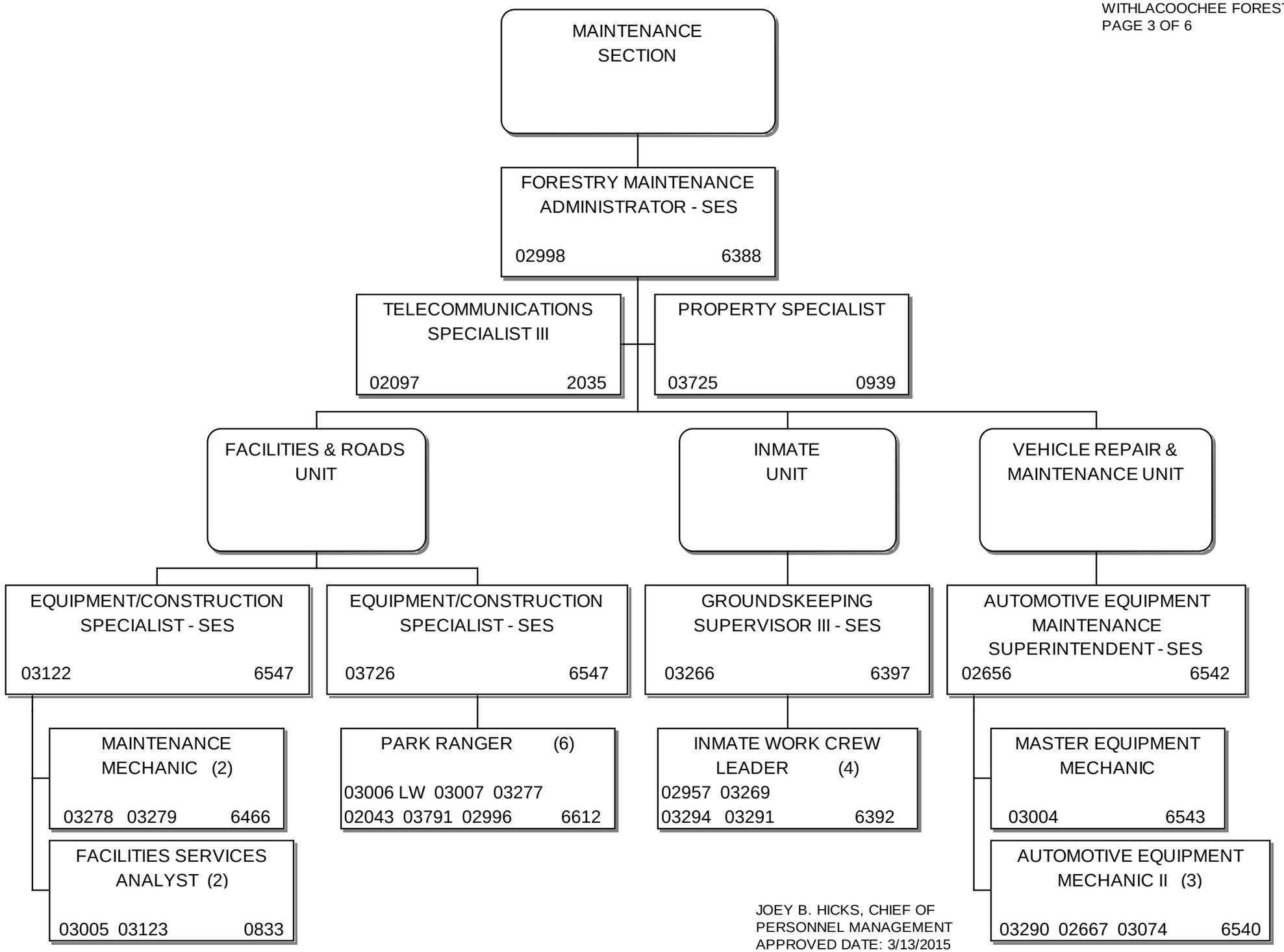
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS
WITHLACOOCHEE FORESTRY CENTER
PAGE 2 0F 6



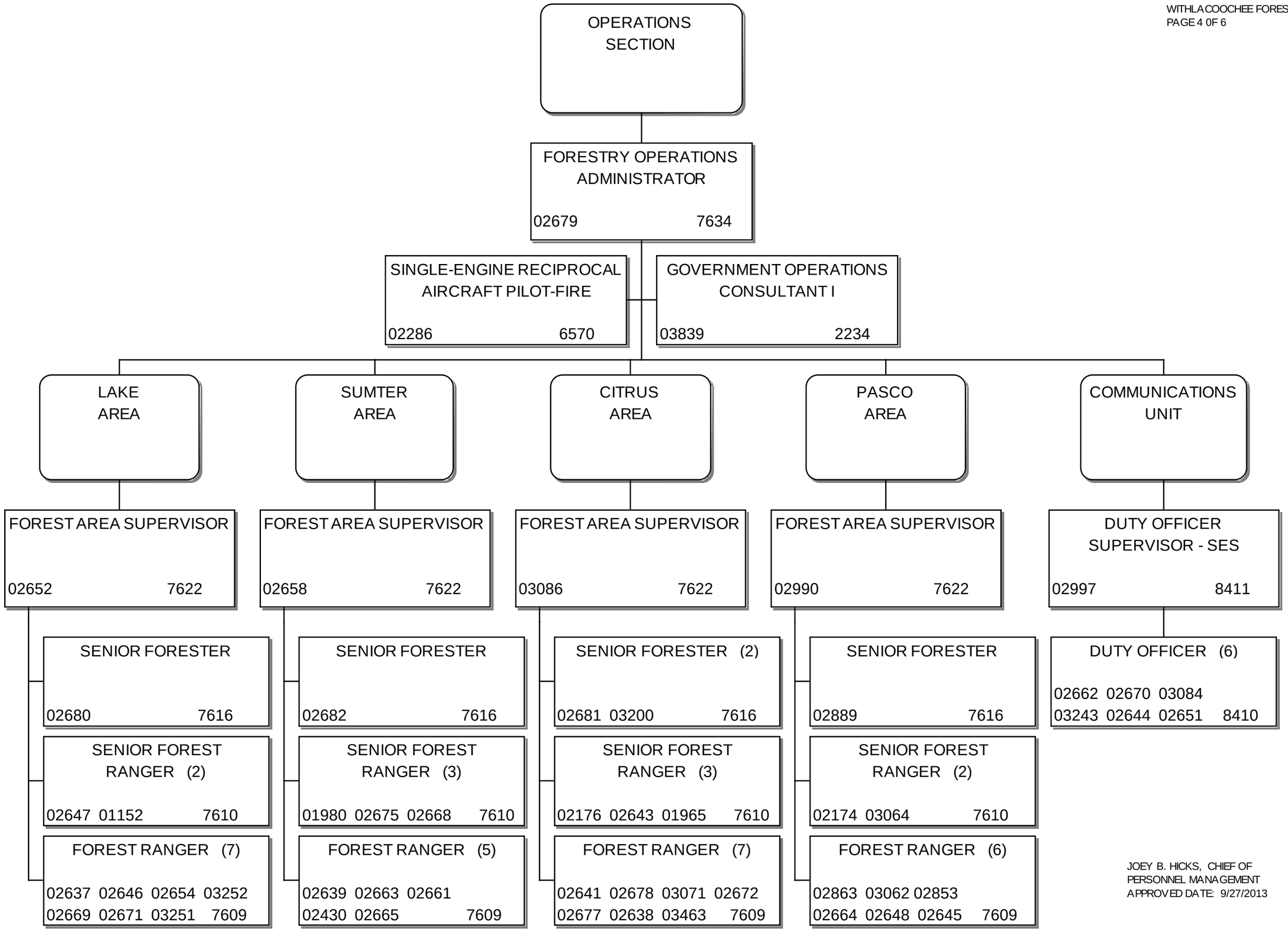
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/05/2013

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/13/2015

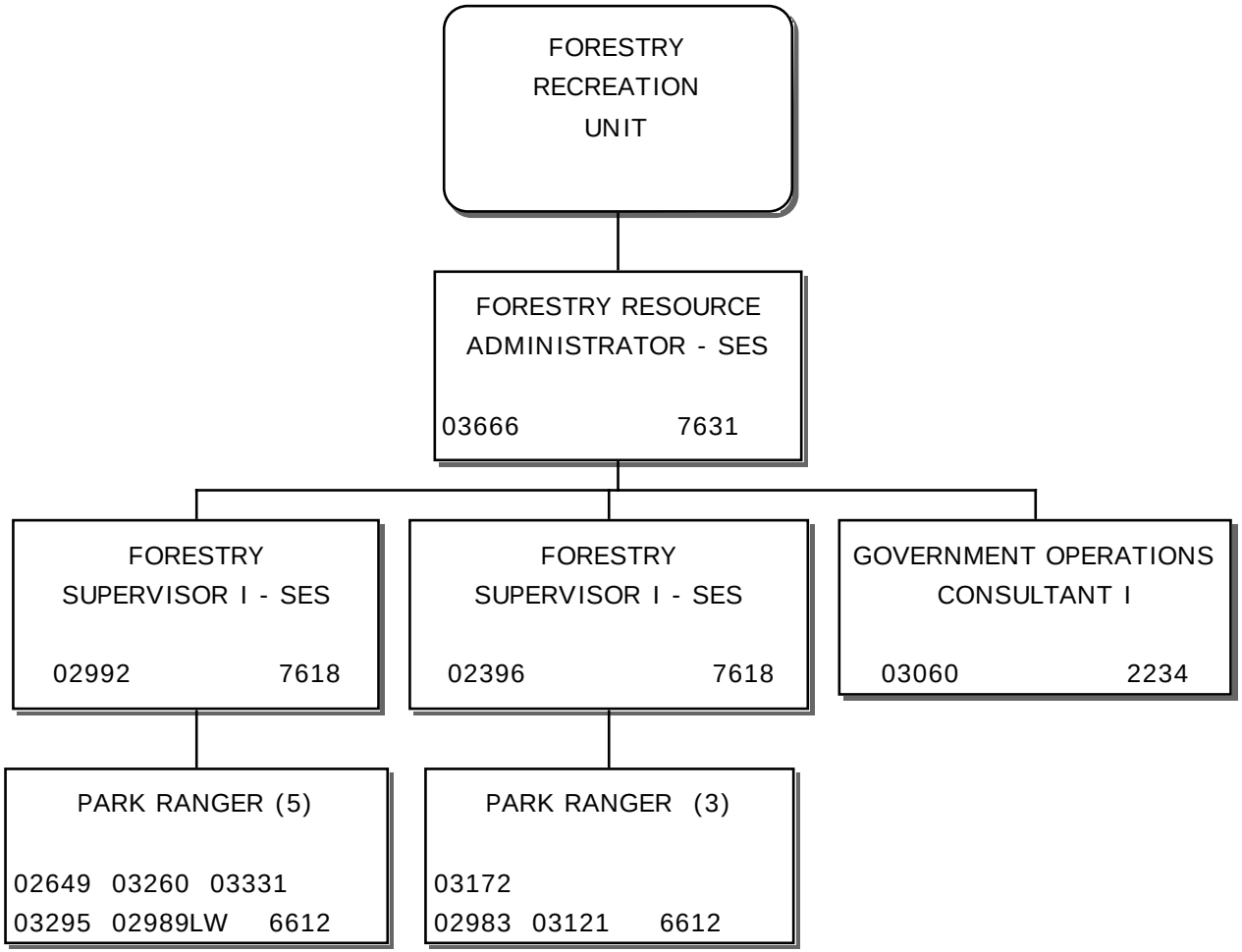
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 9/27/2013

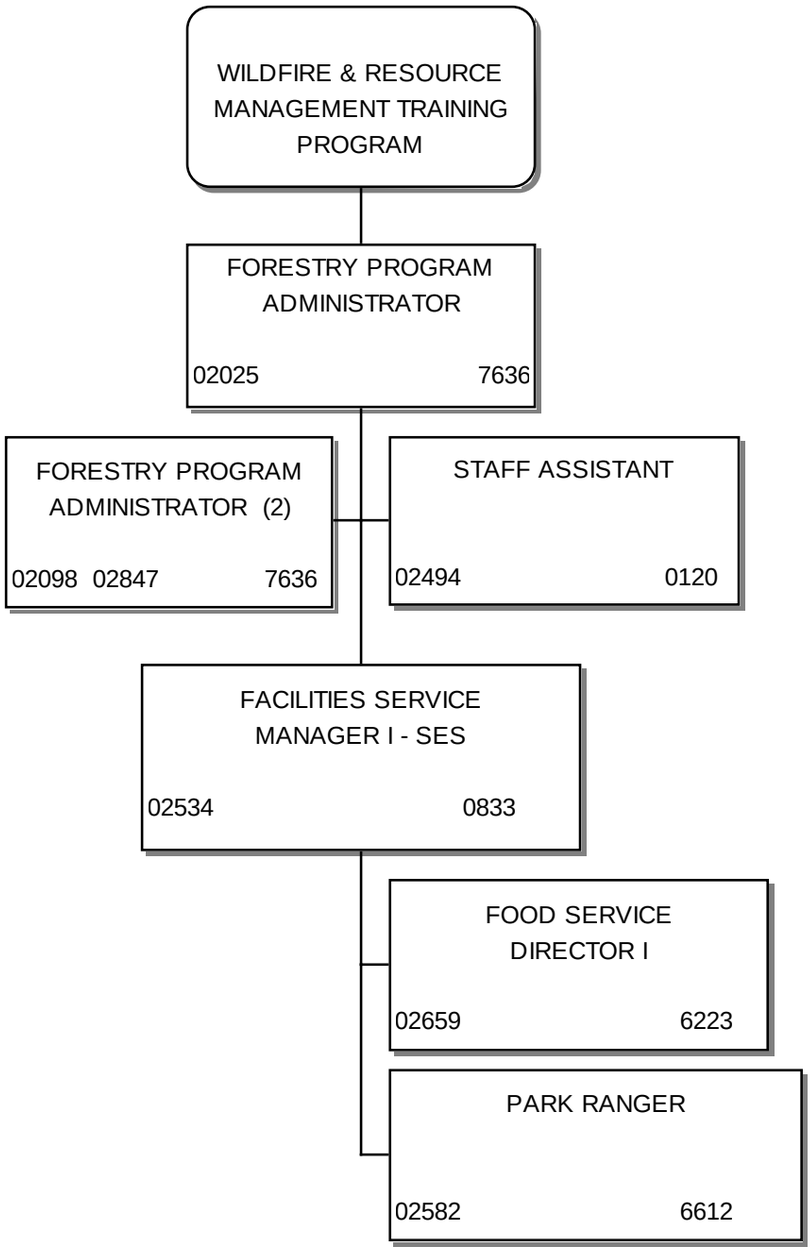
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS
WITHLACOOCHEE FORESTRY CENTER



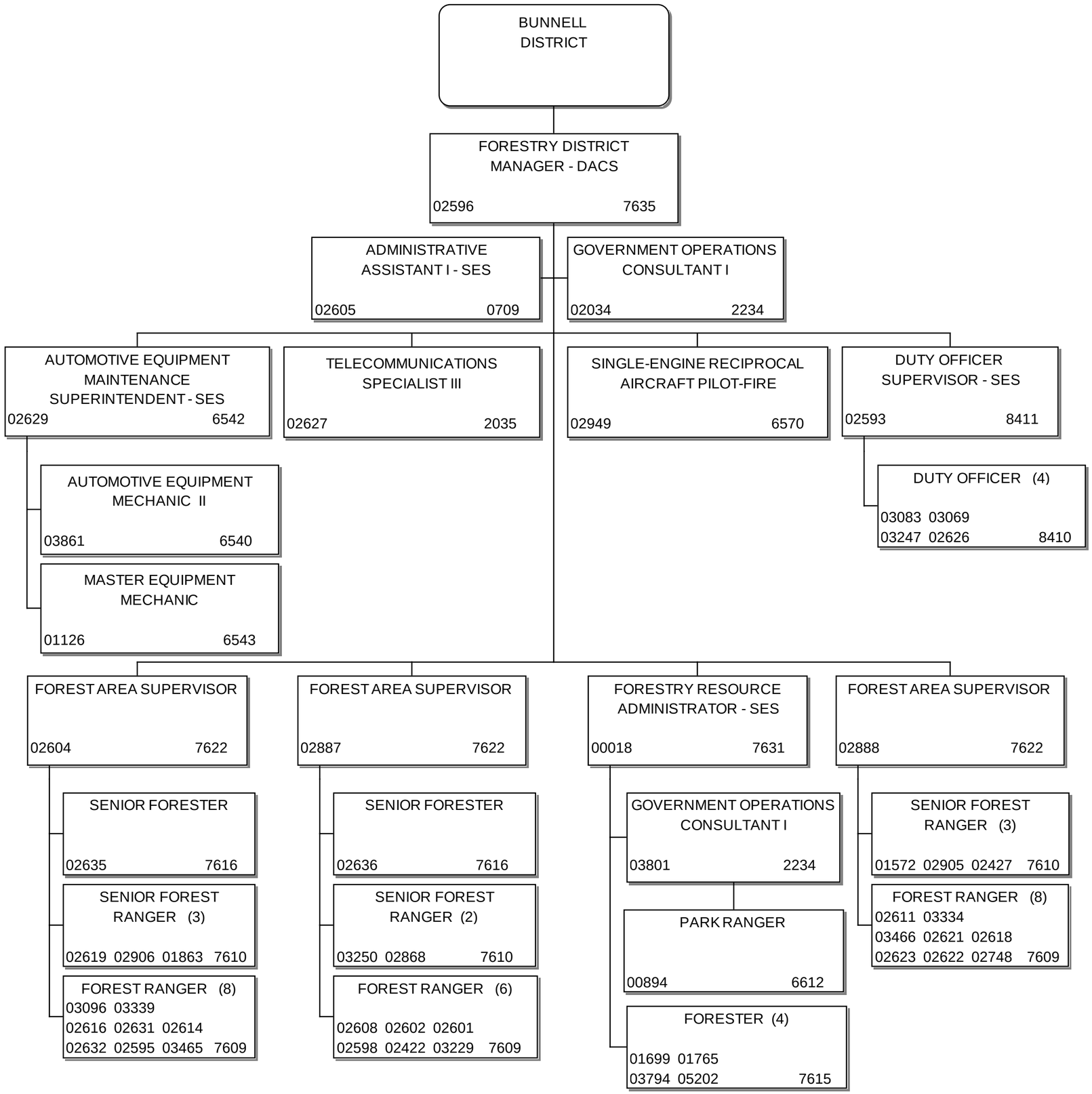
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 6/22/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



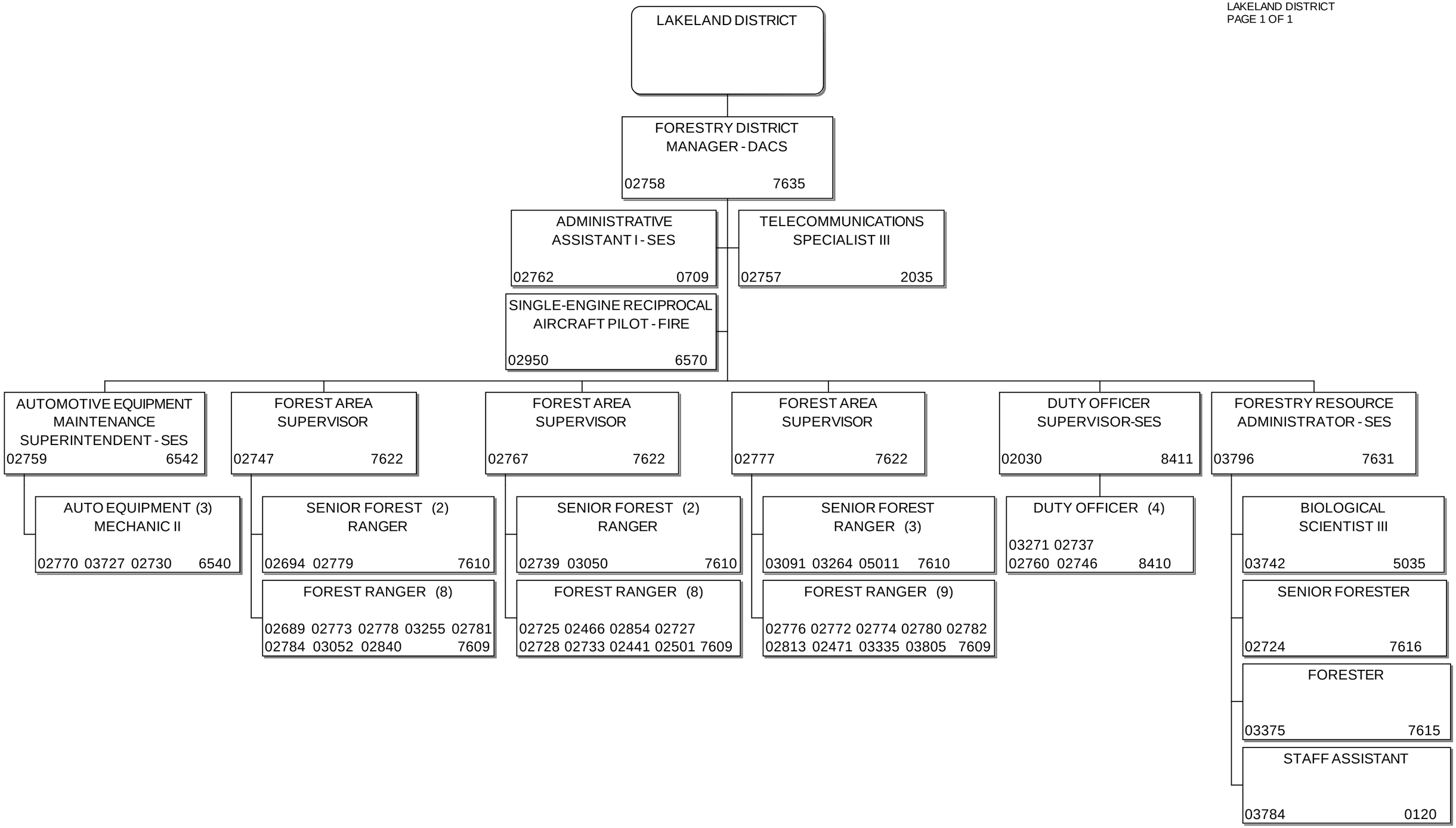
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 11/23/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



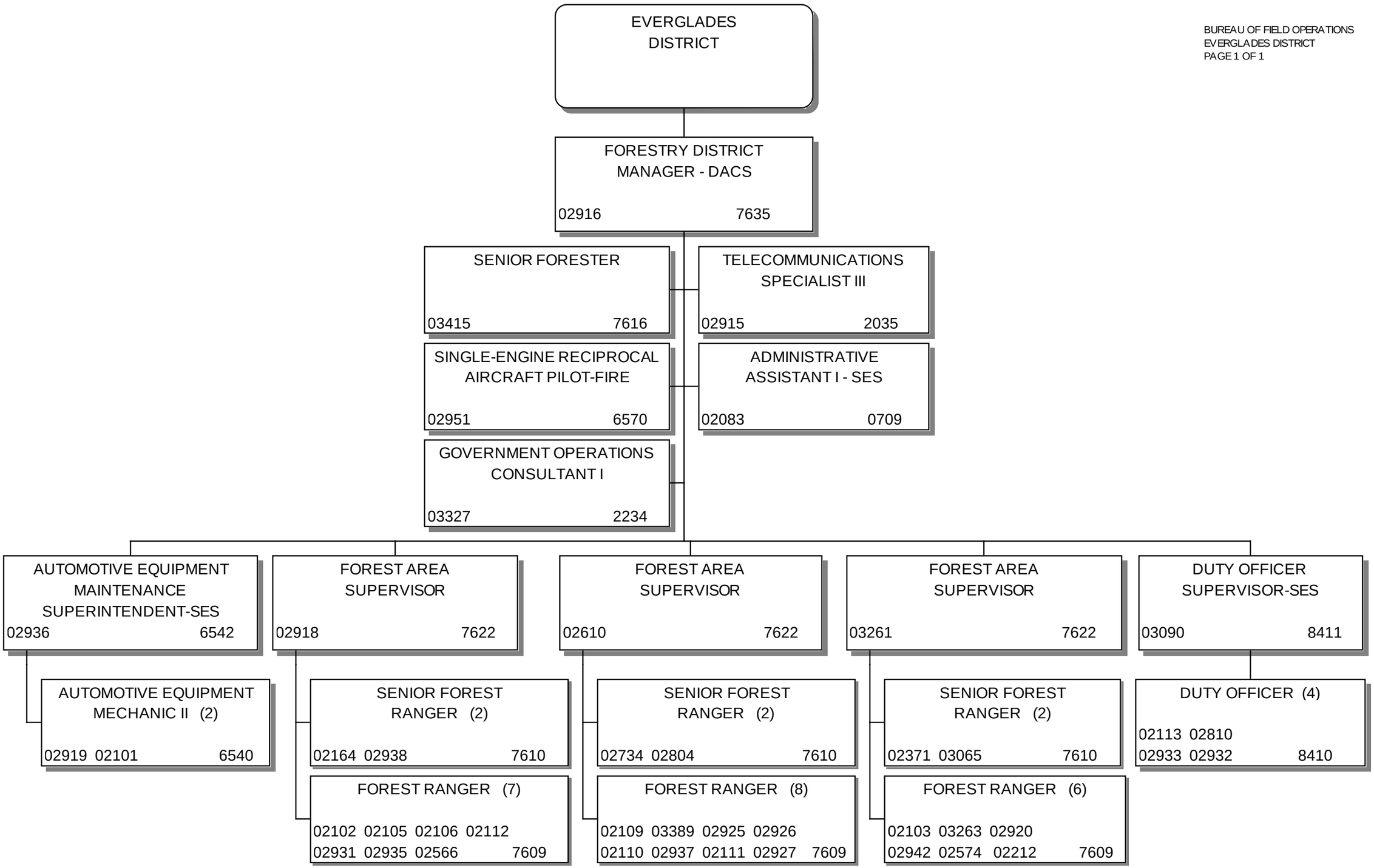
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 1/30/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



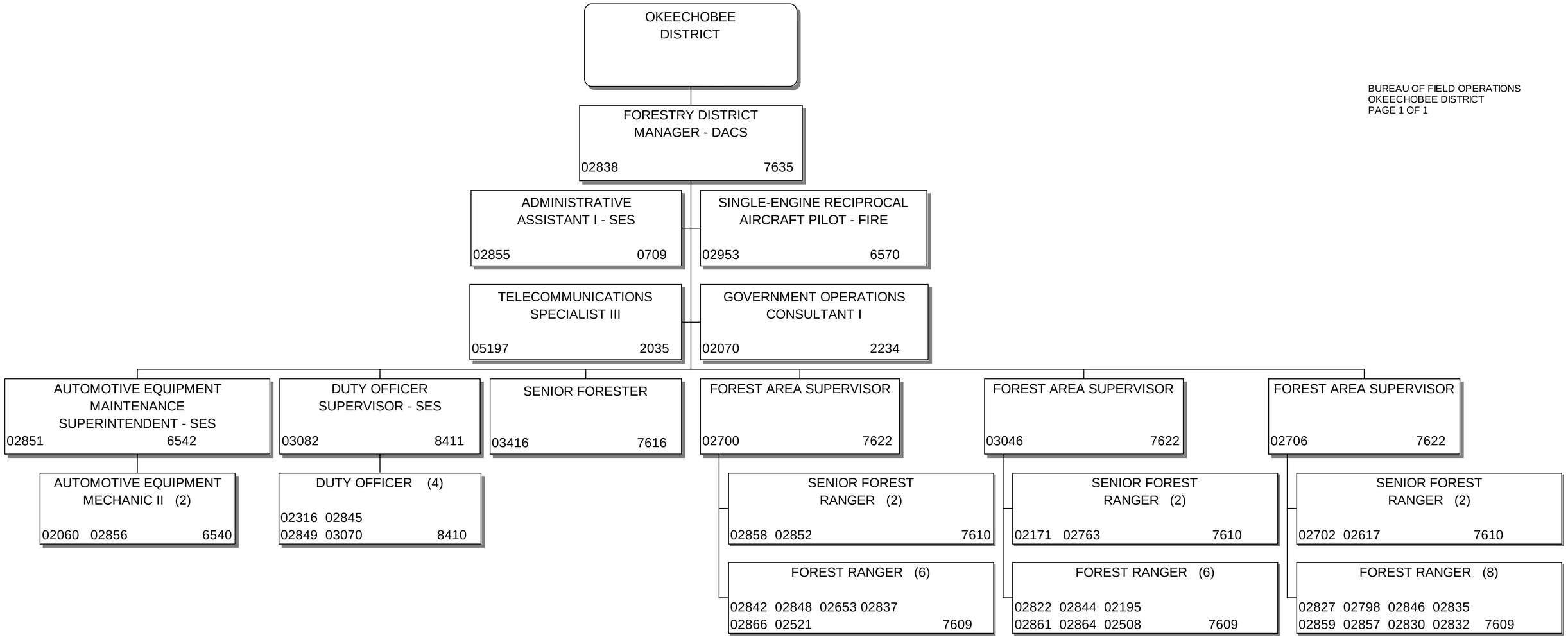
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/28/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



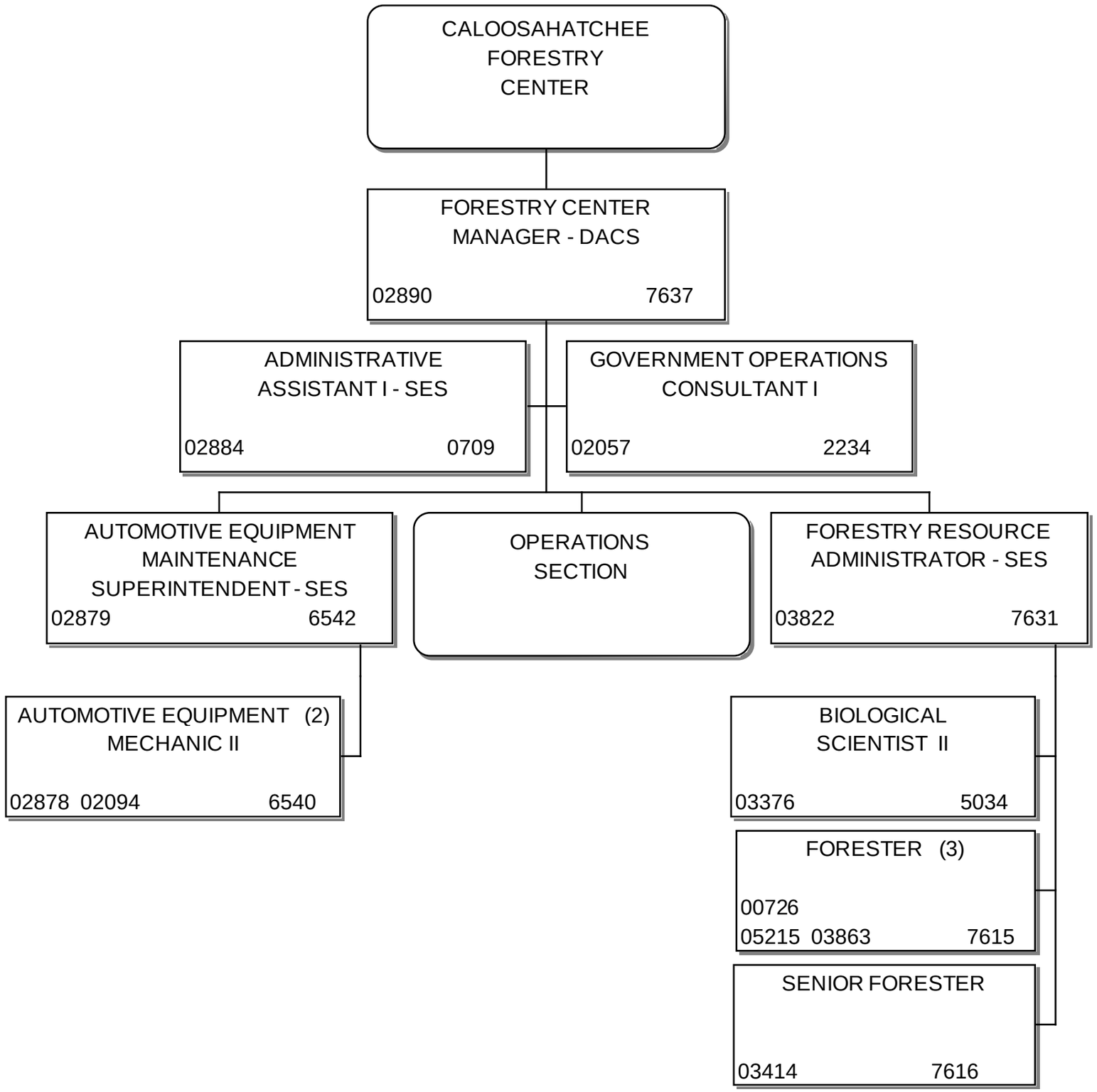
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/17/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



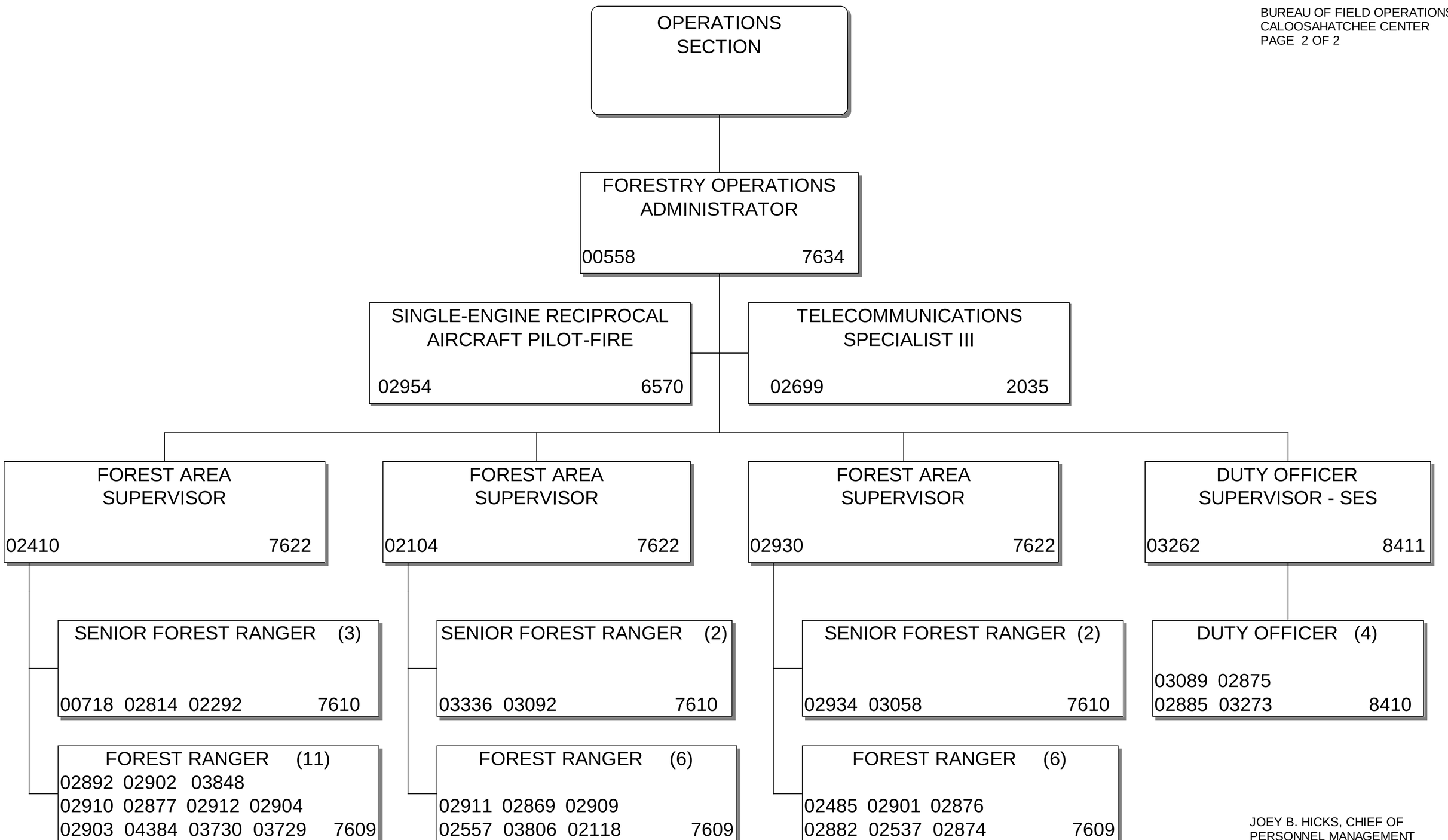
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/27/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



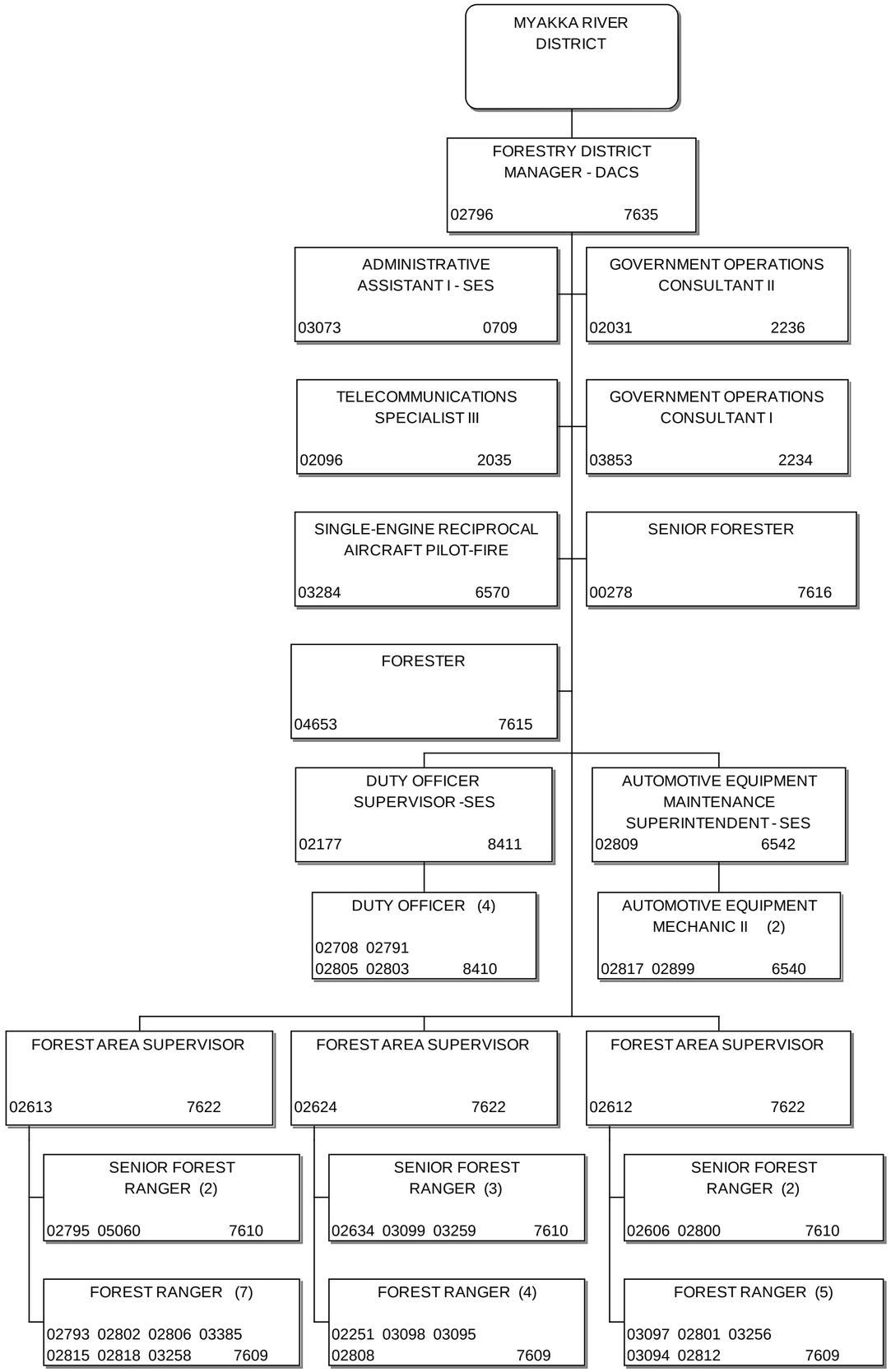
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 4/27/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/19/2013

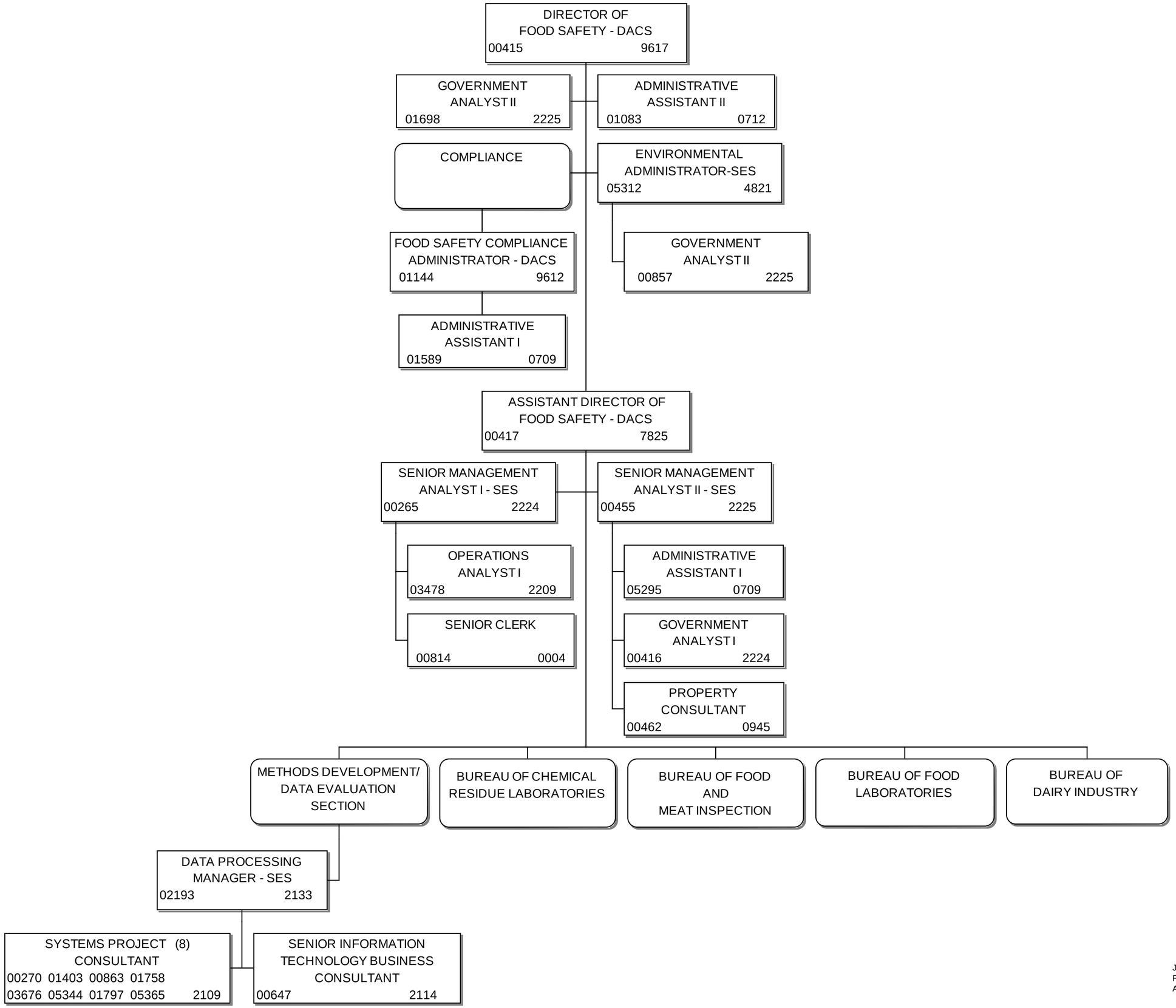
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
FLORIDA FOREST SERVICE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 2/13/2015

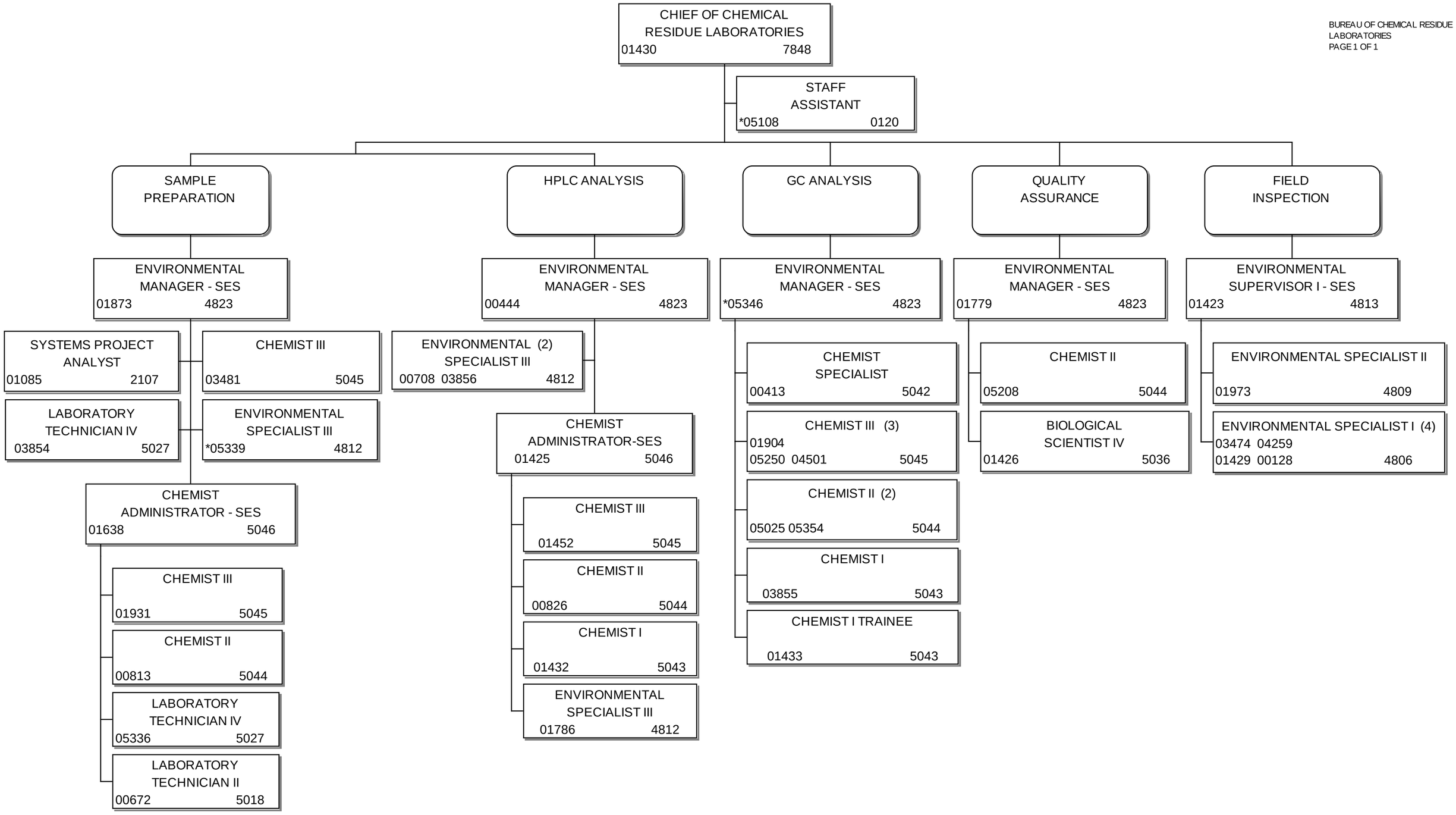
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY

DIVISION F.T.E. 300
ADMINISTRATIVE
PAGE 1 OF 1



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/27/2015

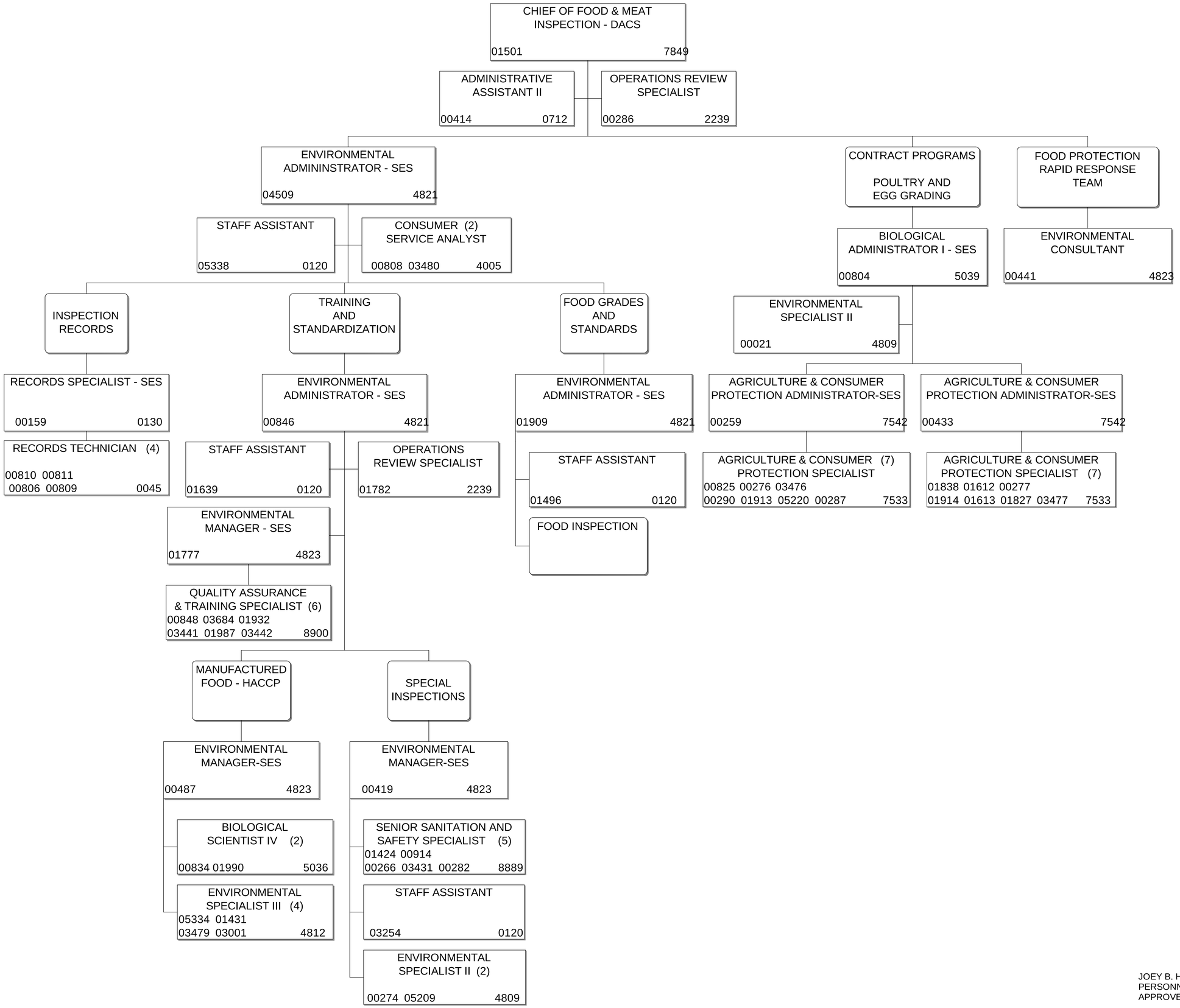
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



*USDA Funded Position

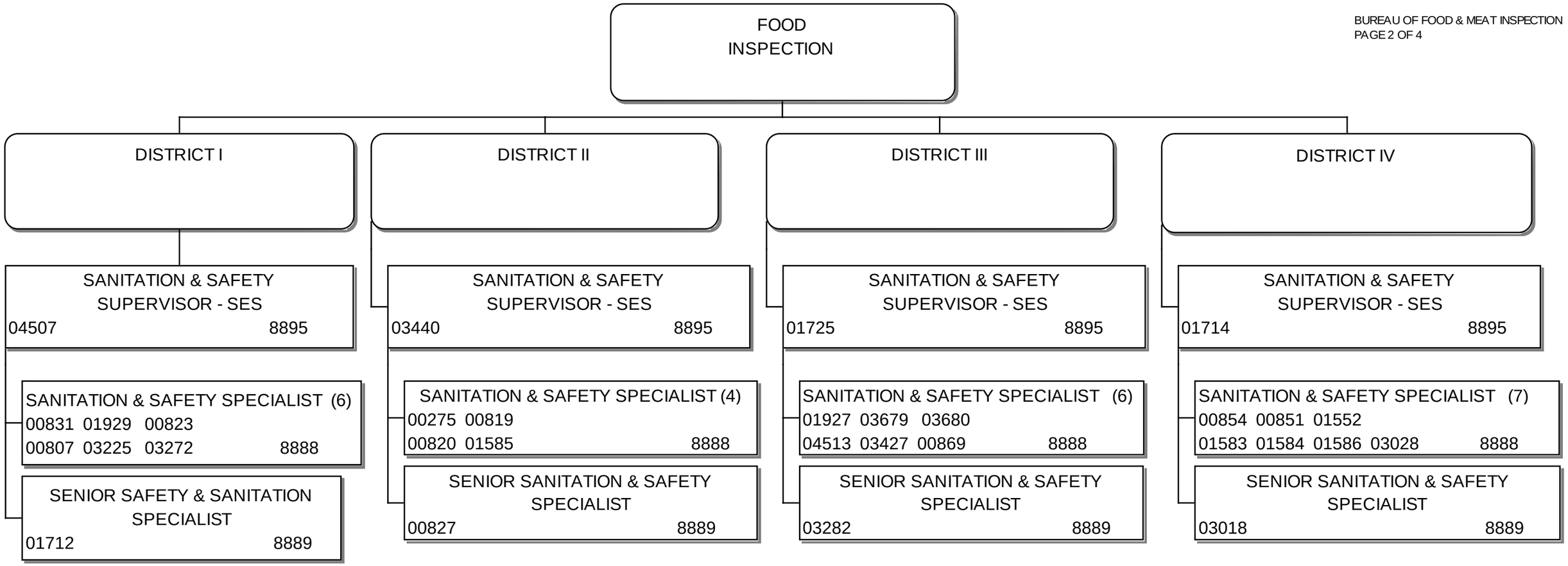
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 6/19/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



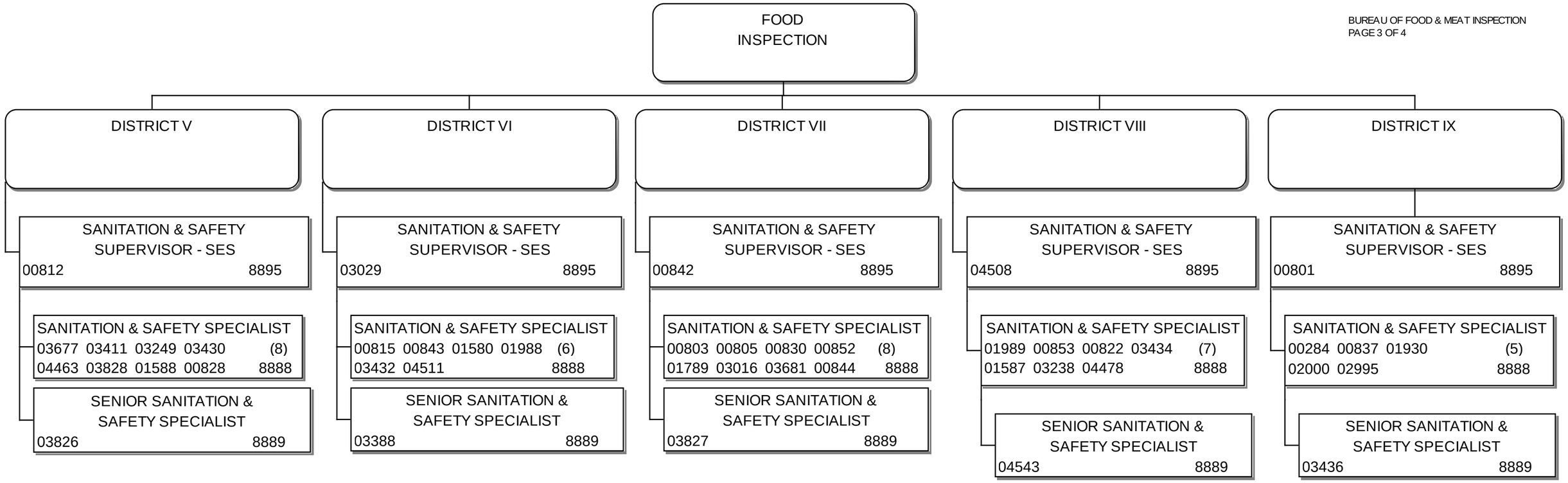
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/27/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



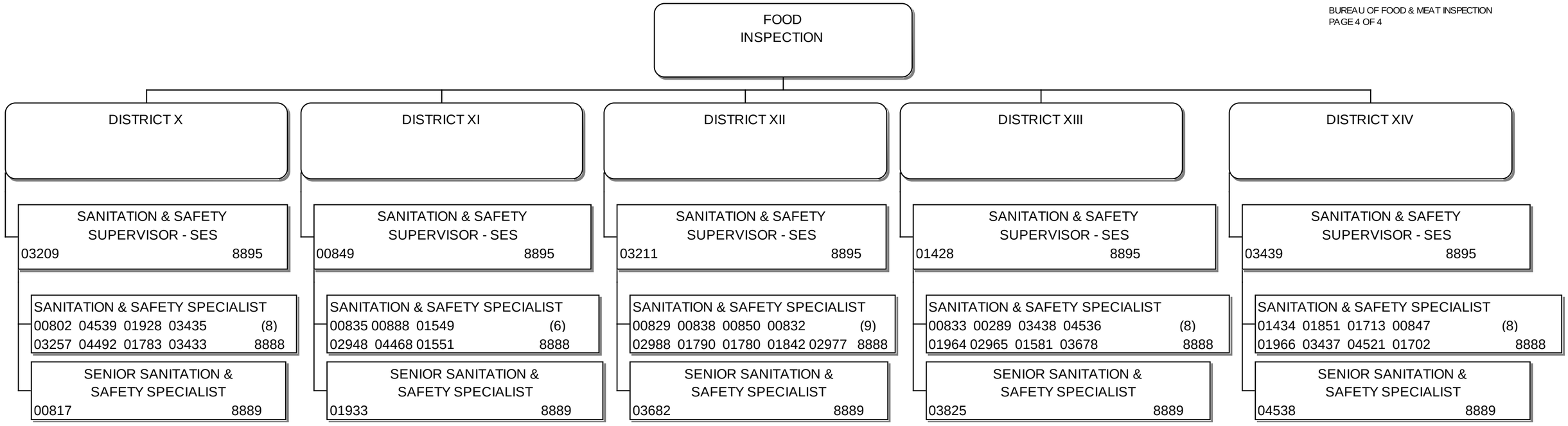
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 6/5/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



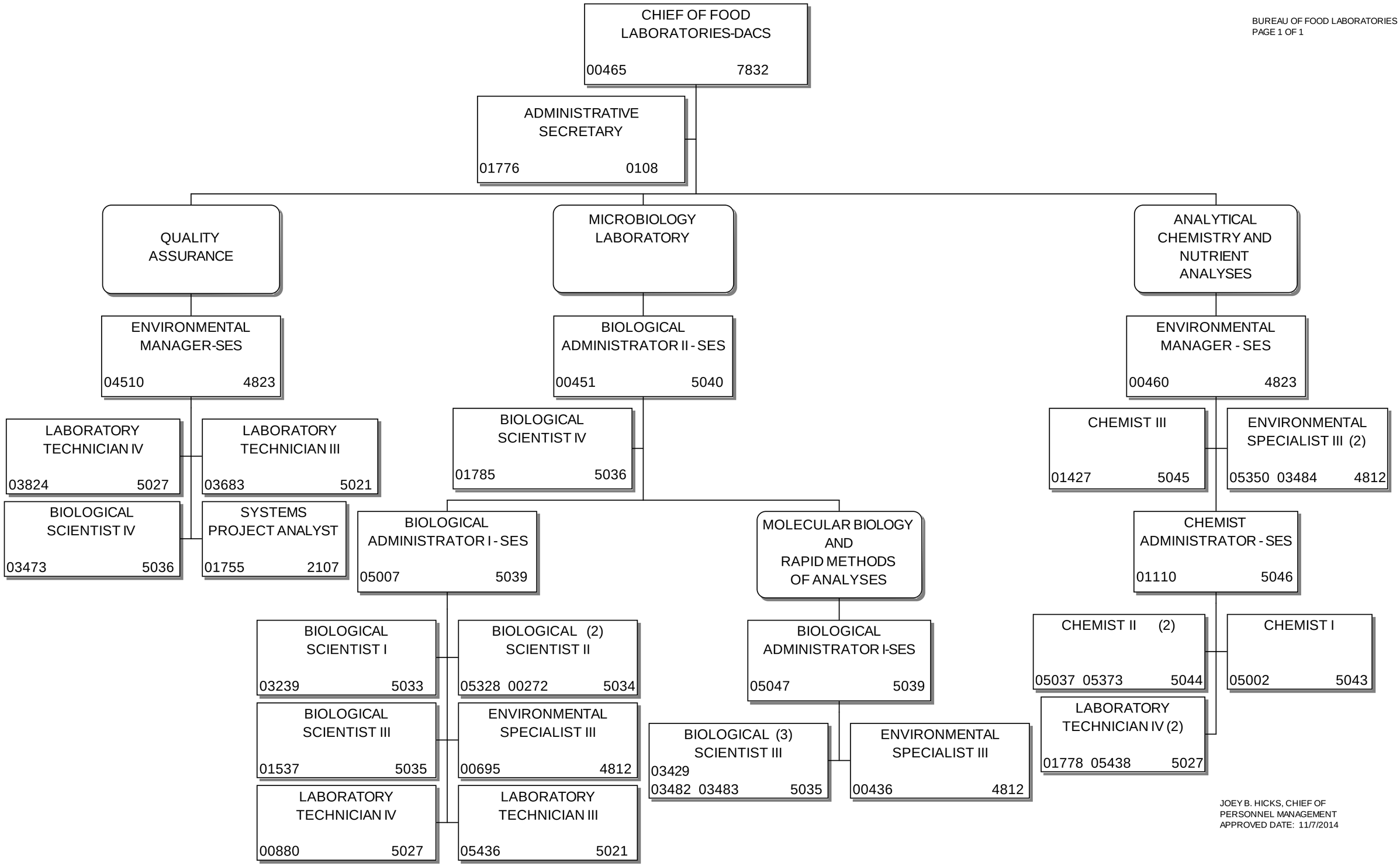
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 6/5/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



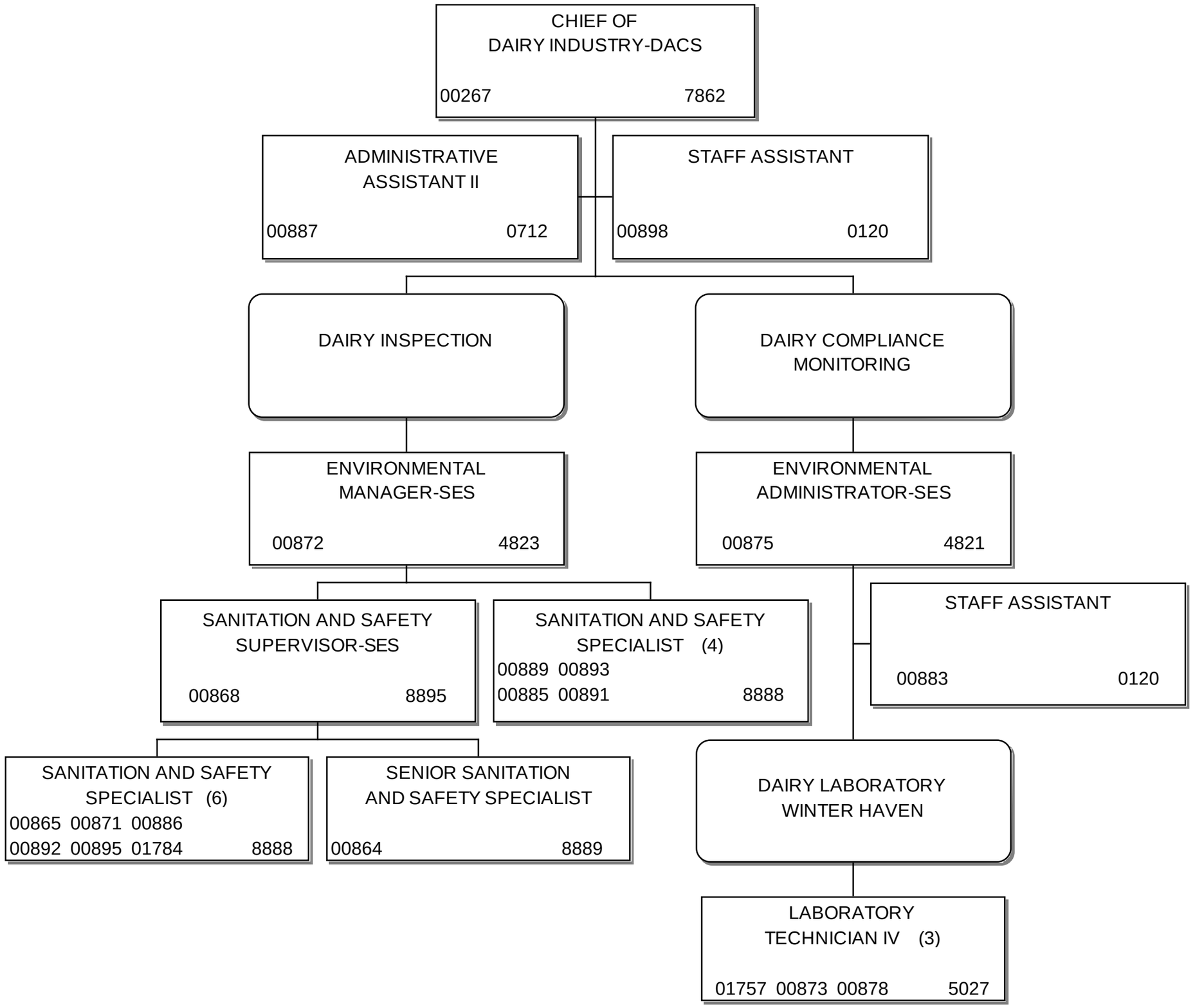
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 09/27/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 11/7/2014

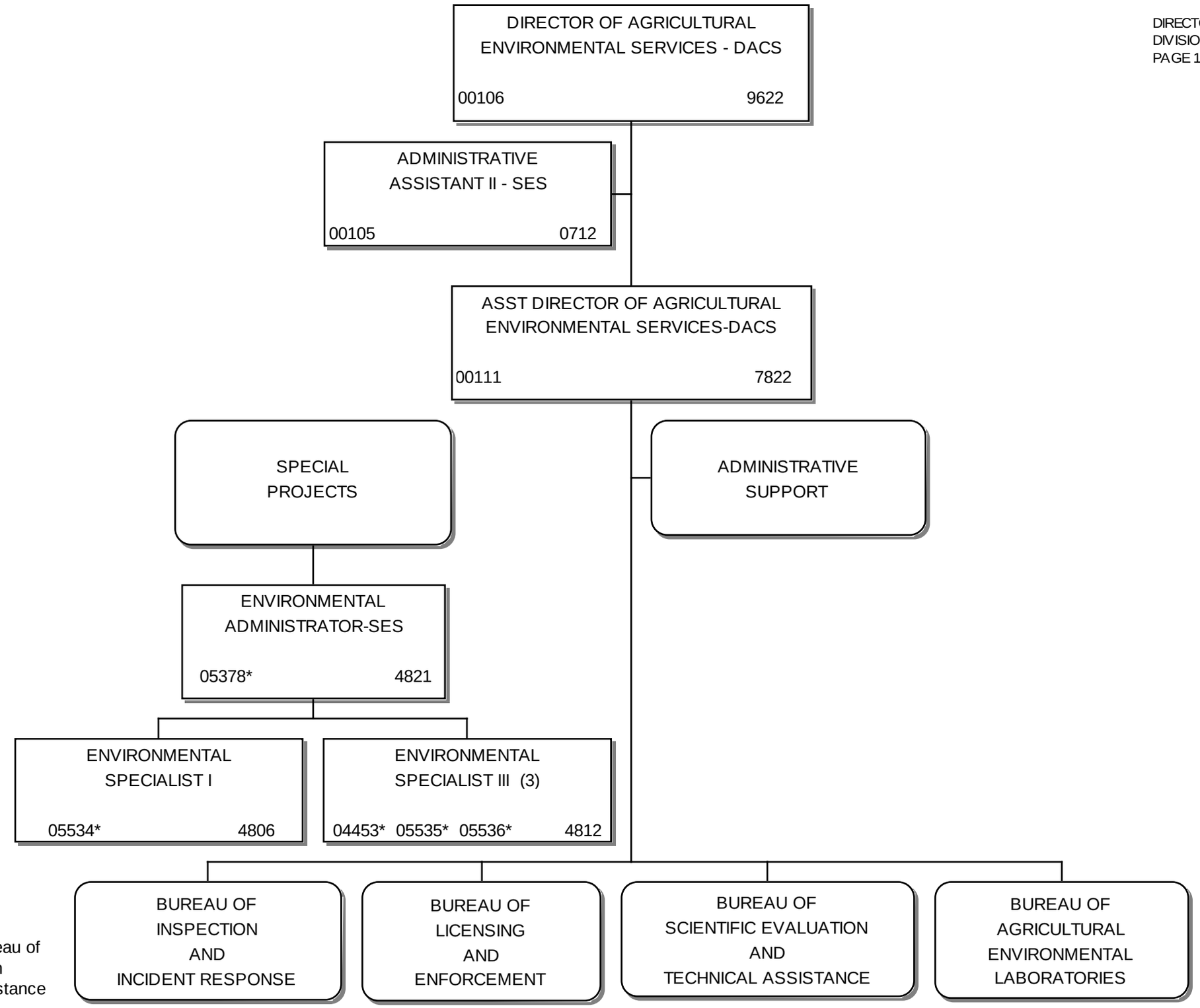
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FOOD SAFETY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/1/2015

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES - DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES

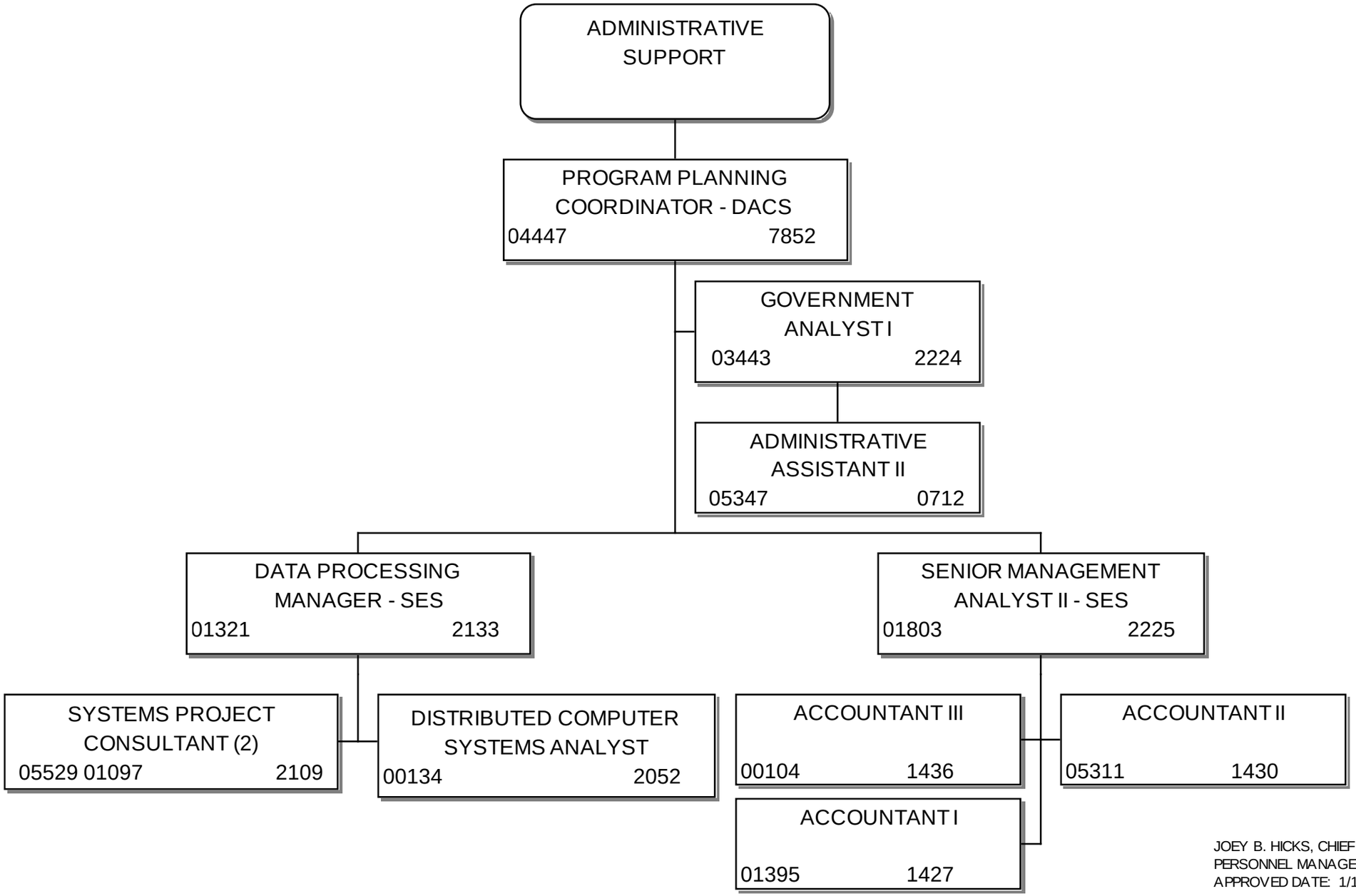
DIRECTOR'S OFFICE
DIVISION F.T.E. 184
PAGE 1 OF 2



* Working in the Bureau of Scientific Evaluation and Technical Assistance

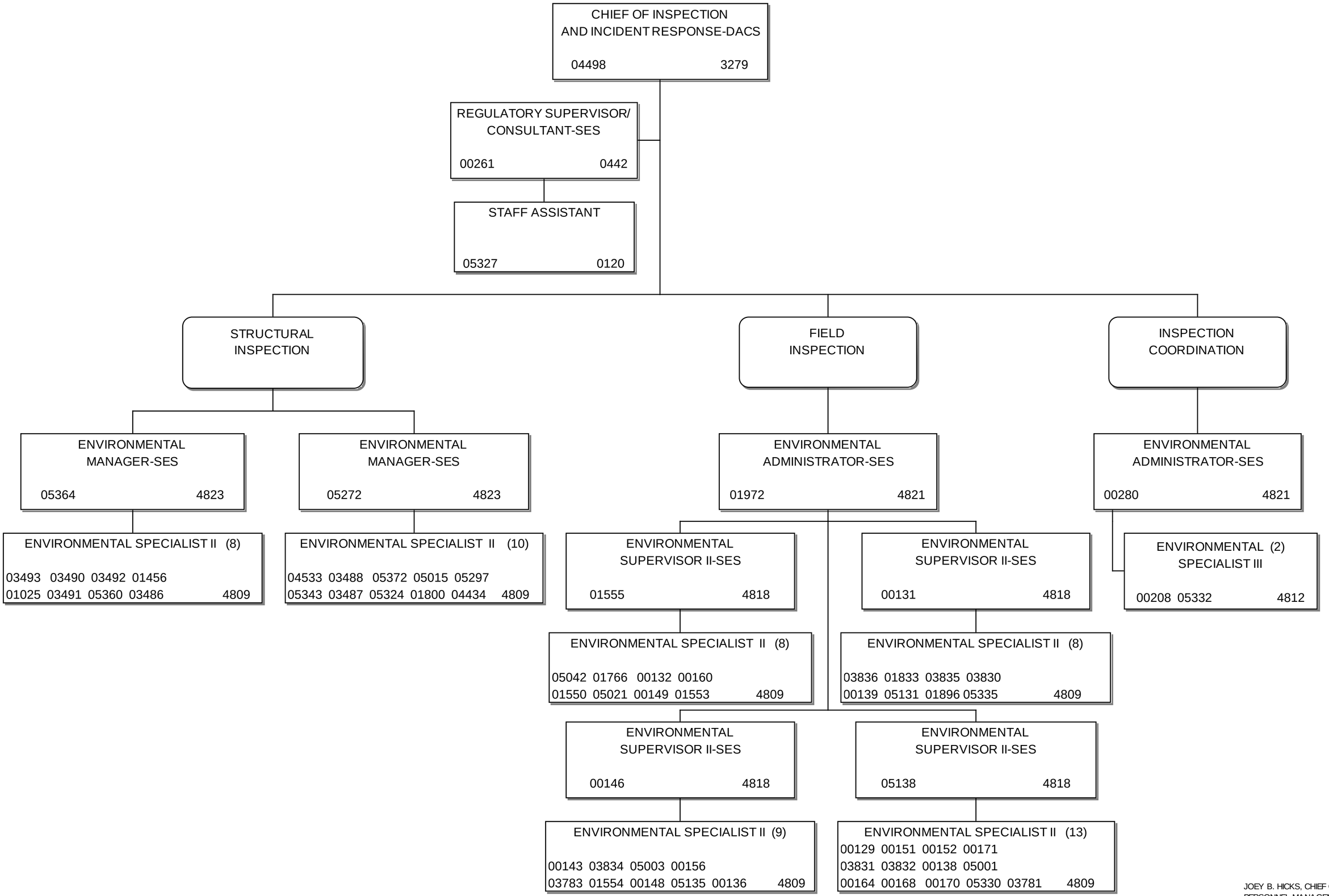
JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES - DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES



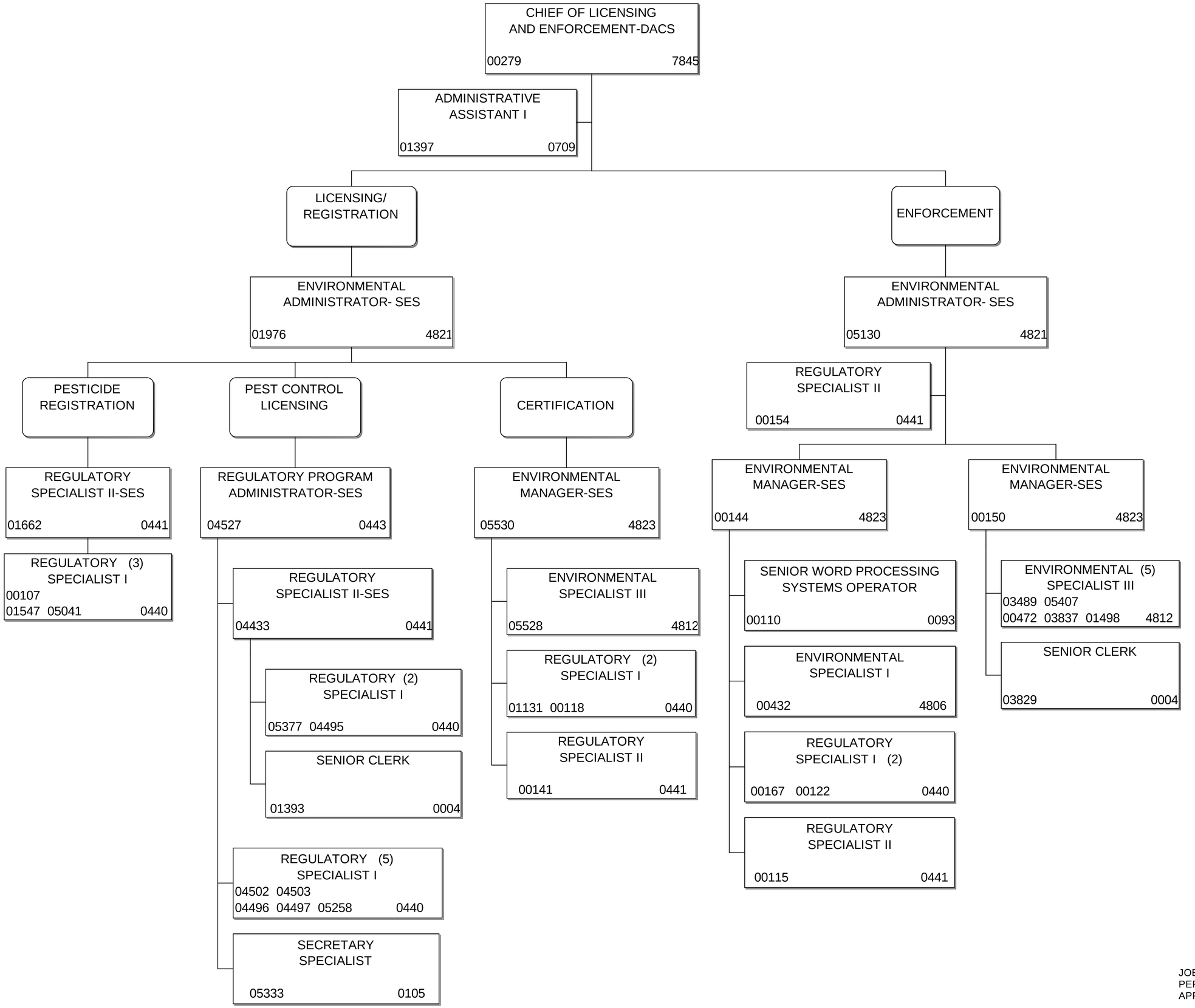
JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 1/16/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES - DIVISION OF
AGRICULTURAL ENVIRONMENTAL SERVICES



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE : 6/19/2015

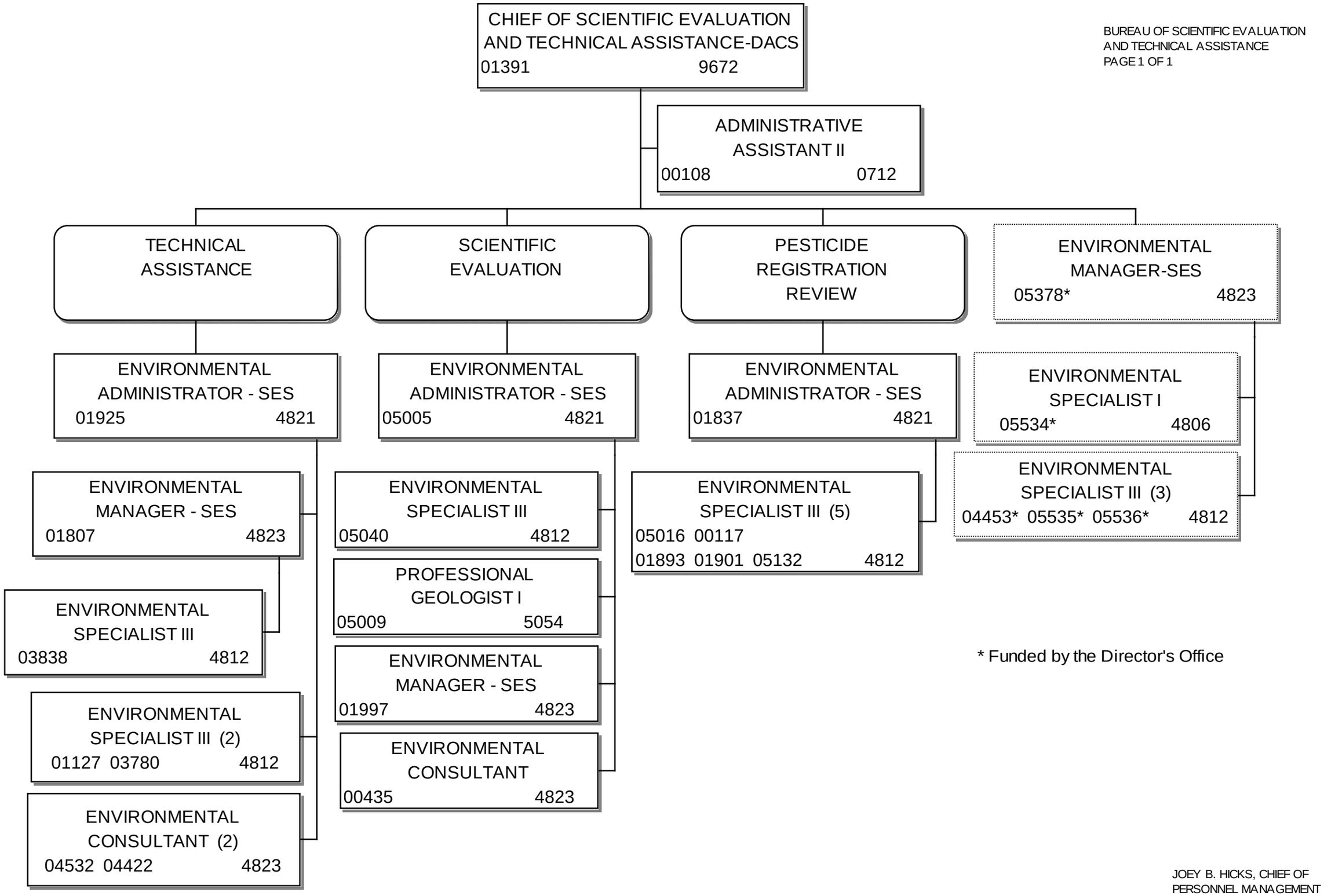
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES - DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES



JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 2/27/2015

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES - DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES

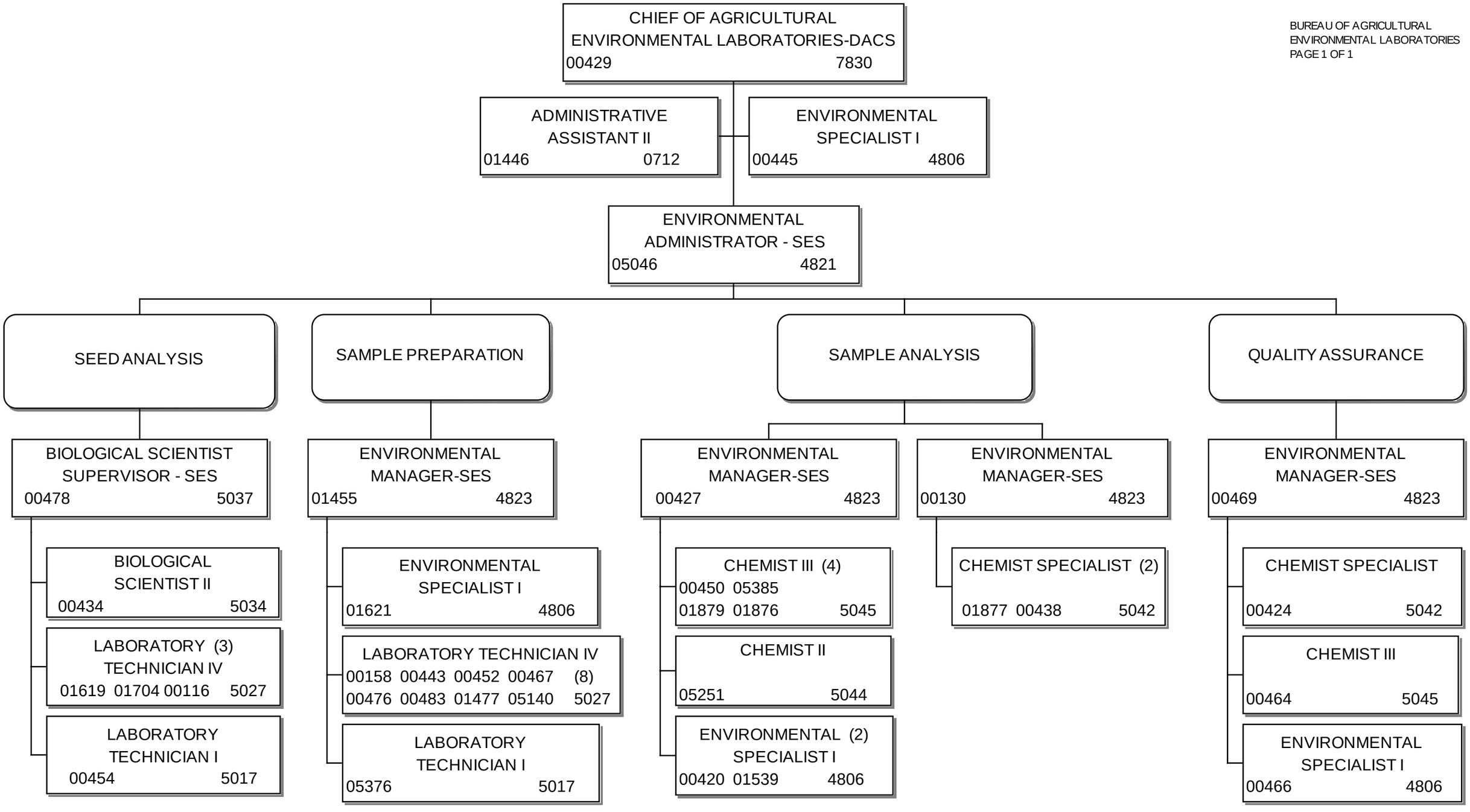
BUREAU OF SCIENTIFIC EVALUATION AND TECHNICAL ASSISTANCE
PAGE 1 OF 1



* Funded by the Director's Office

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 6/5/2015

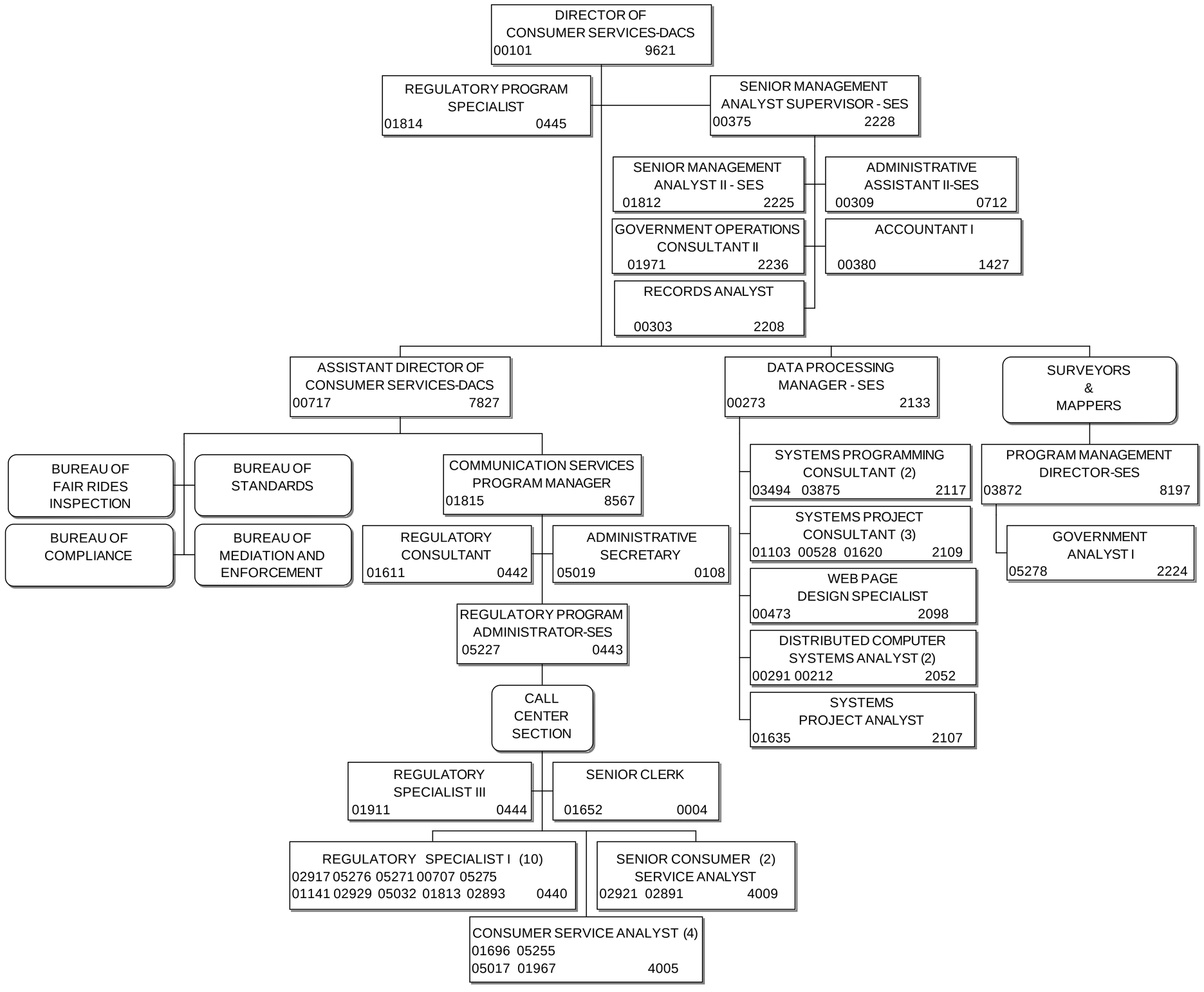
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES - DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES



JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
DATE APPROVED: 6/5/2015

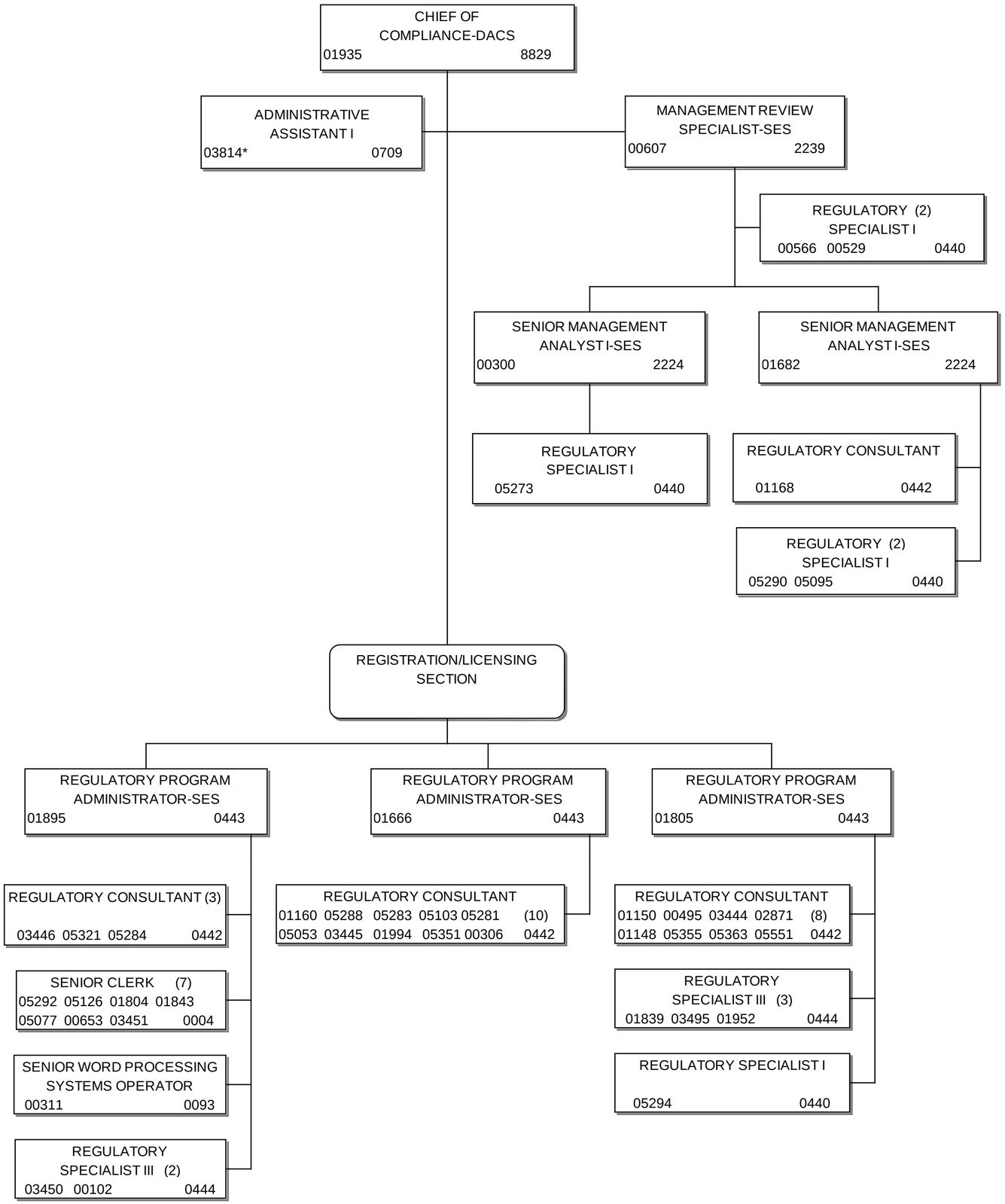
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF CONSUMER SERVICES

DIVISION F.T.E. 285
DIRECTOR'S OFFICE
PAGE 1 OF 1



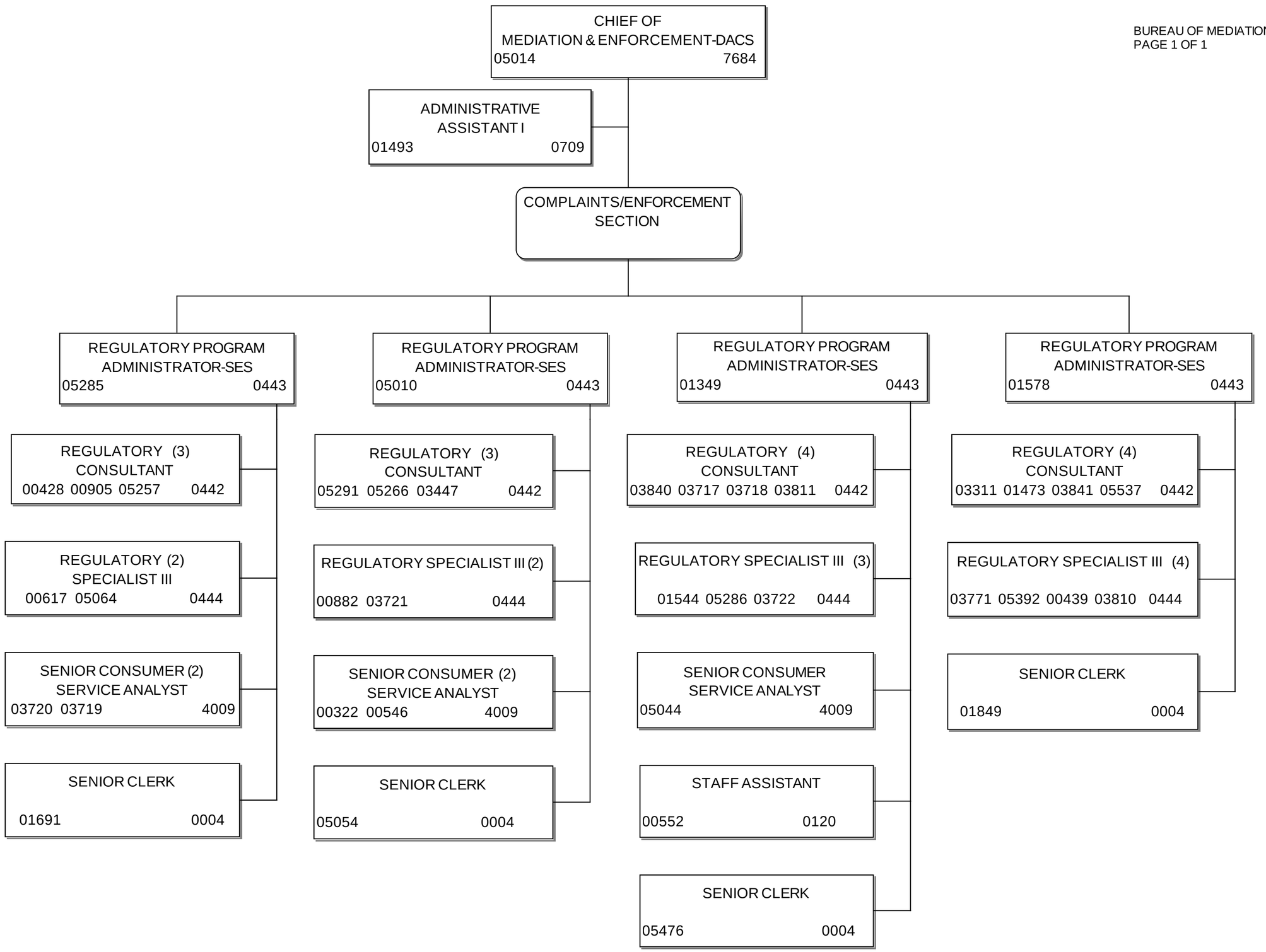
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 5/8/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF CONSUMER SERVICES



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 7/3/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF CONSUMER SERVICES



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 7/3/2015

DEPARTMENT OF AGRICULTURE
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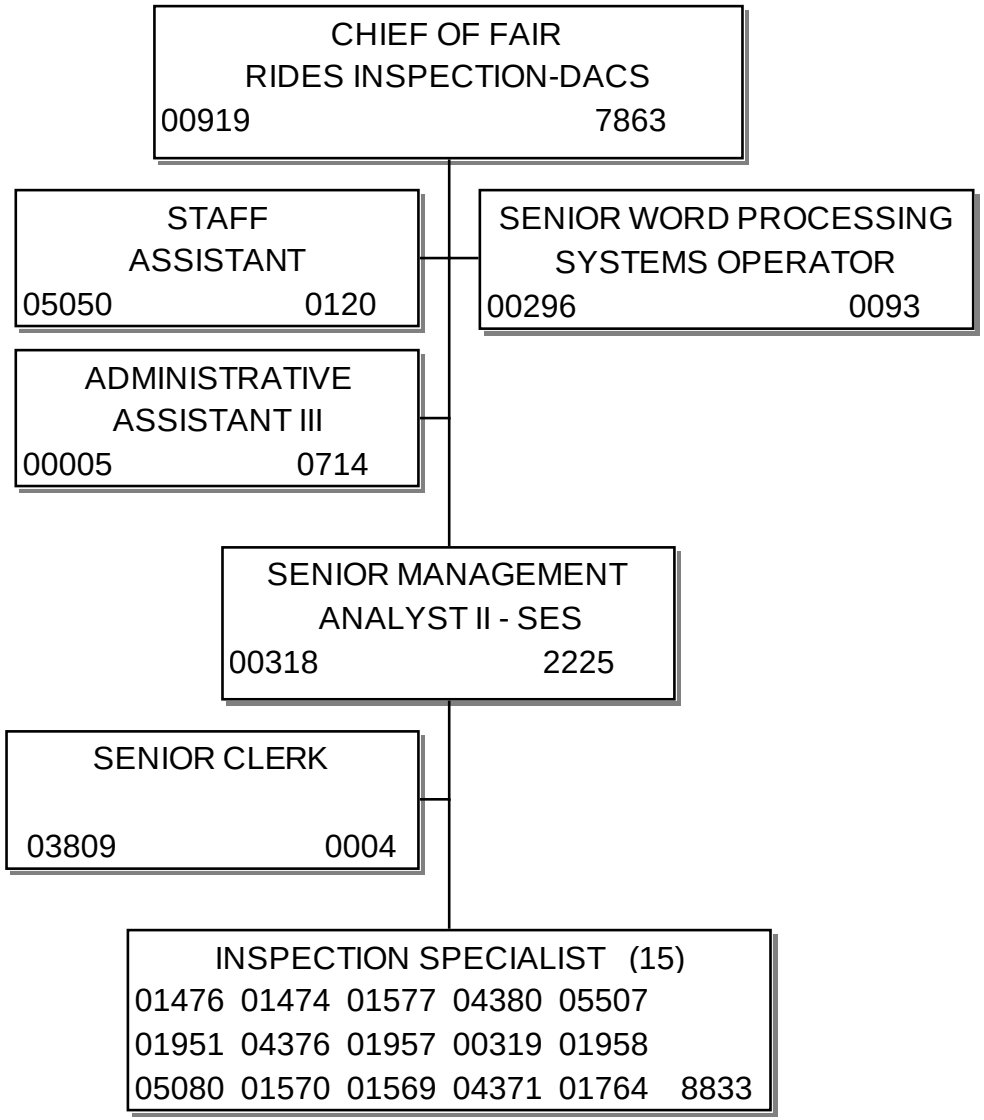
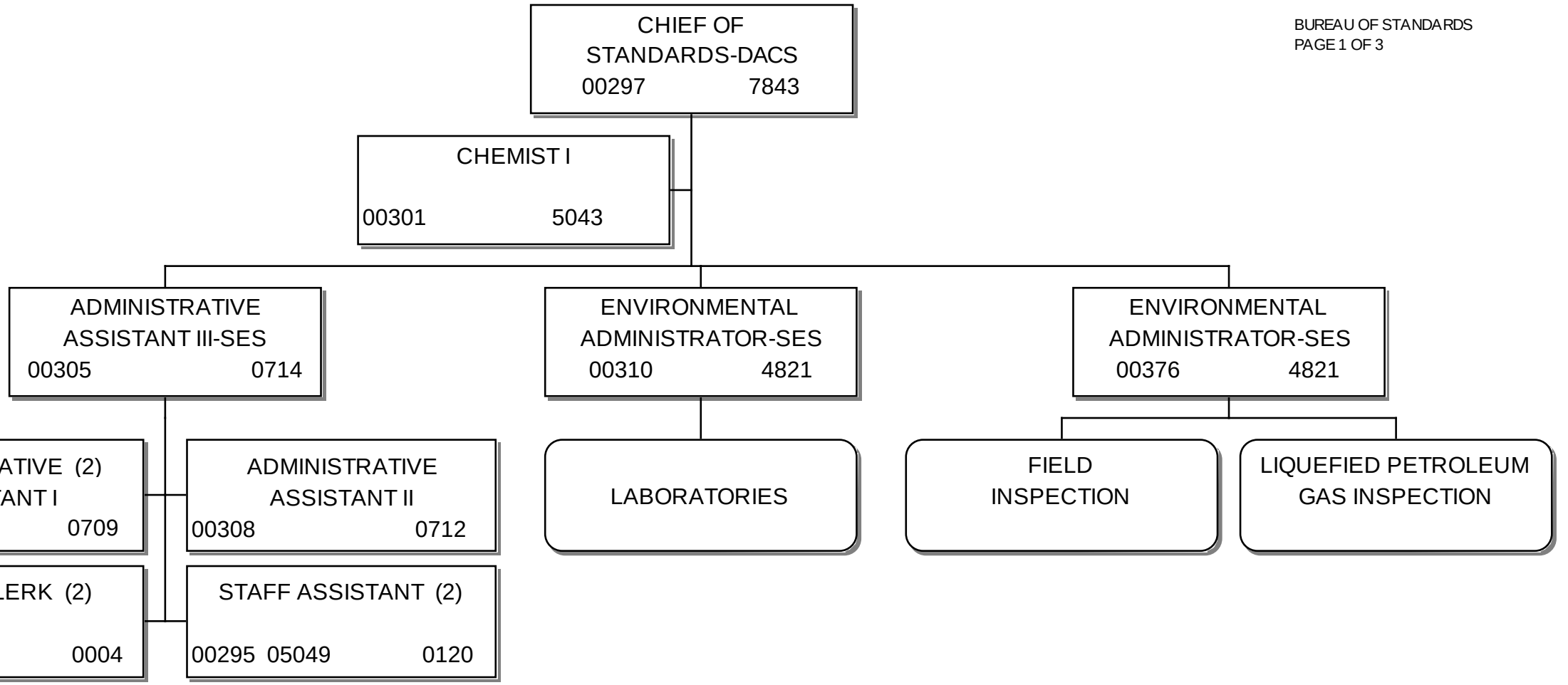
DIVISION OF CONSUMER SERVICES



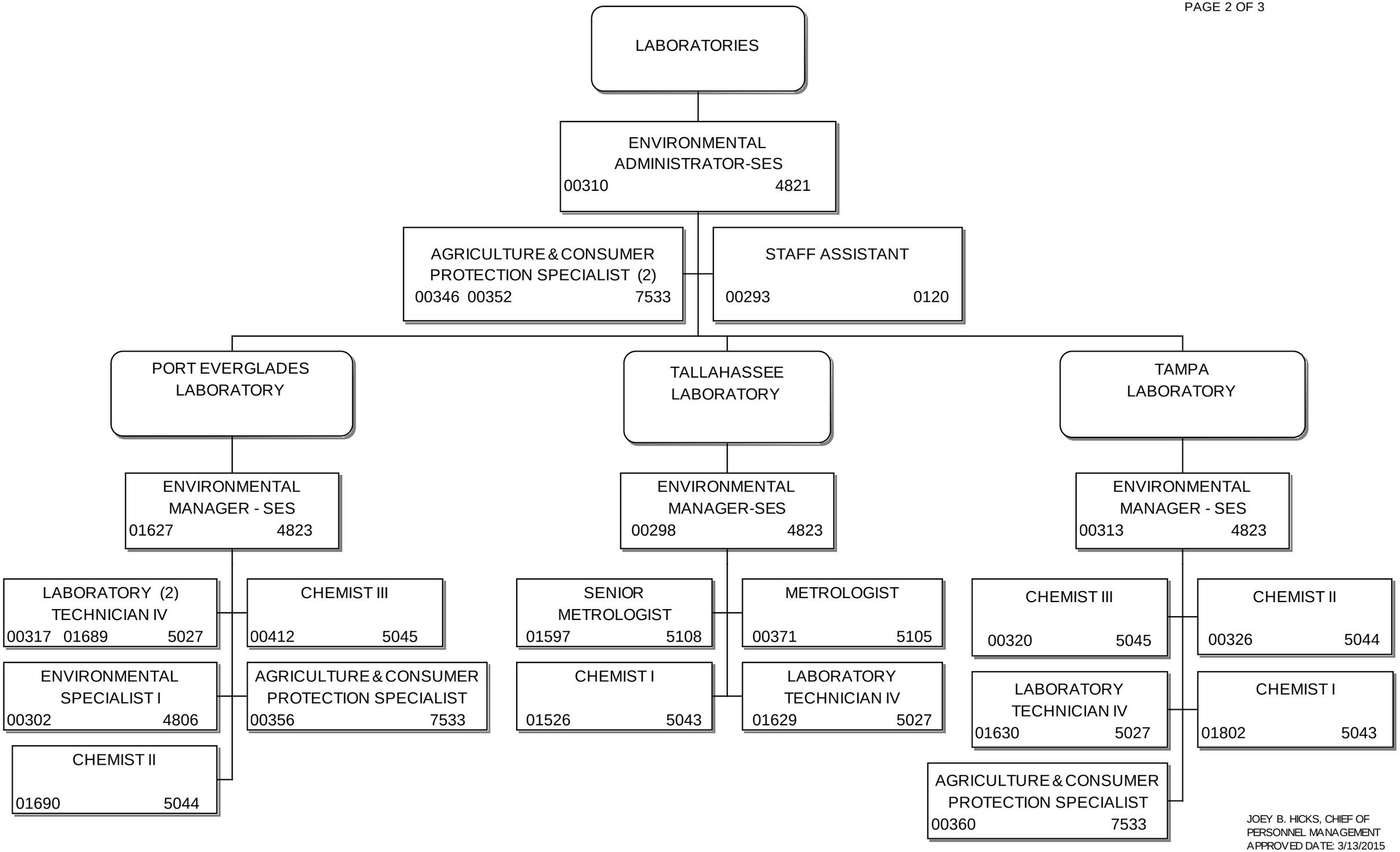
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 2/27/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF CONSUMER SERVICES



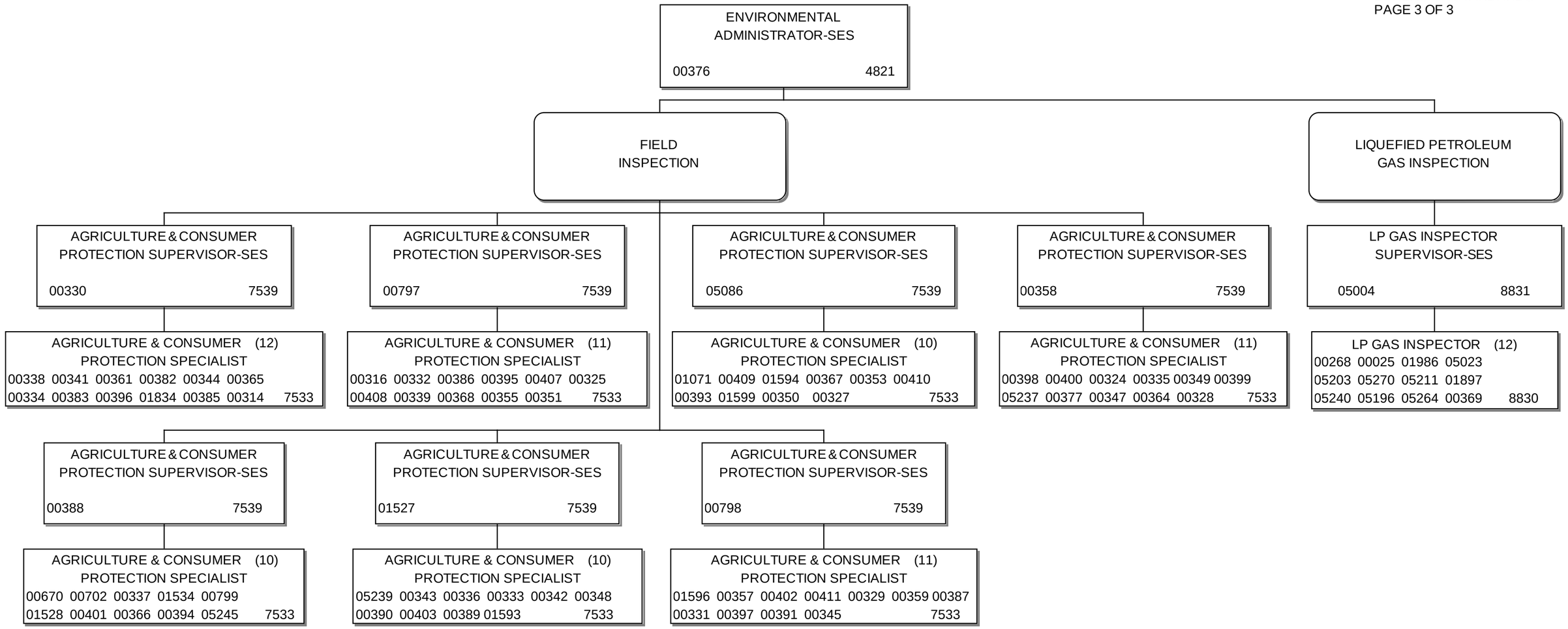
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/8/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF CONSUMER SERVICES



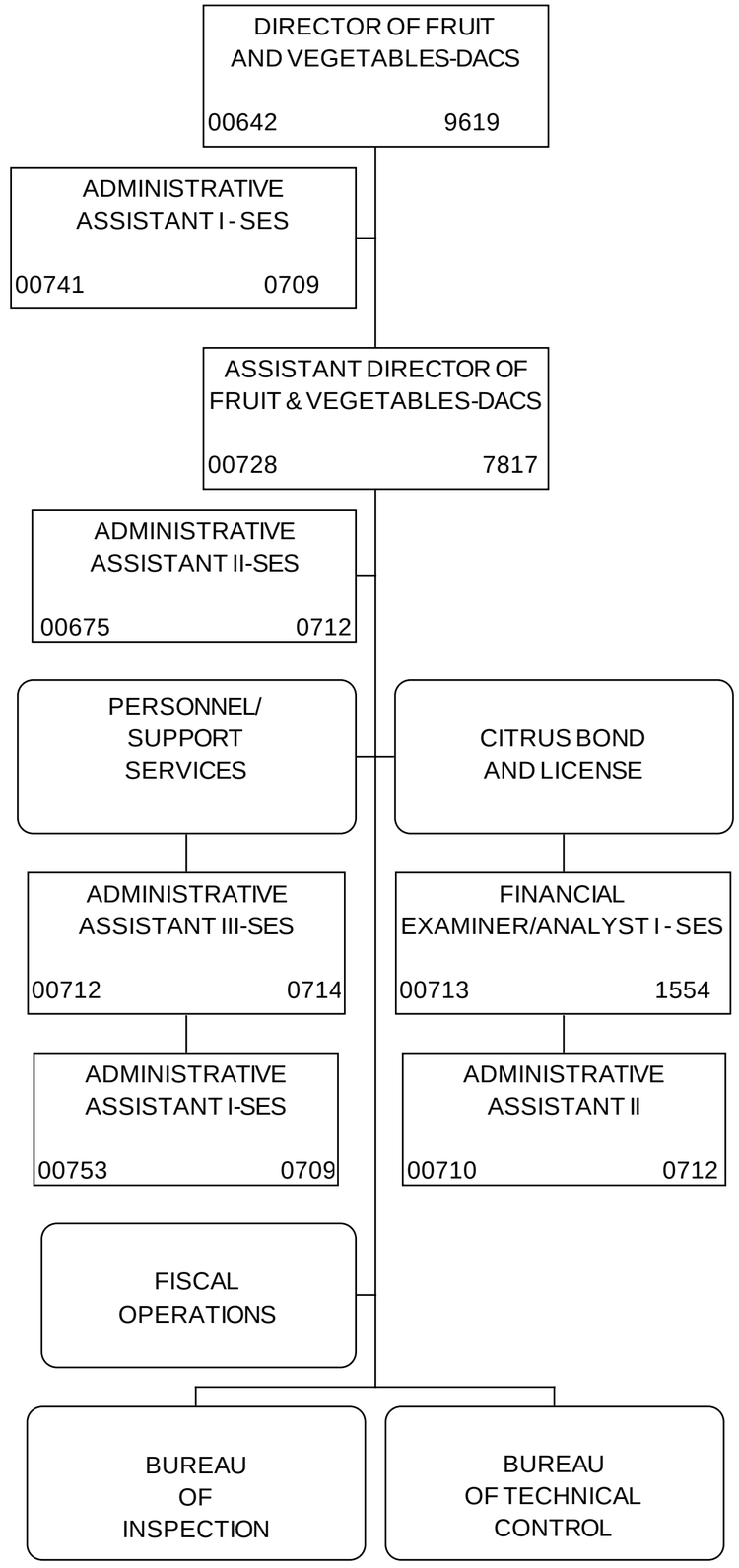
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/13/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF CONSUMER SERVICES



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/17/2015

FLORIDA DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FRUIT AND VEGETABLES



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

FLORIDA DEPARTMENT OF AGRICULTURE
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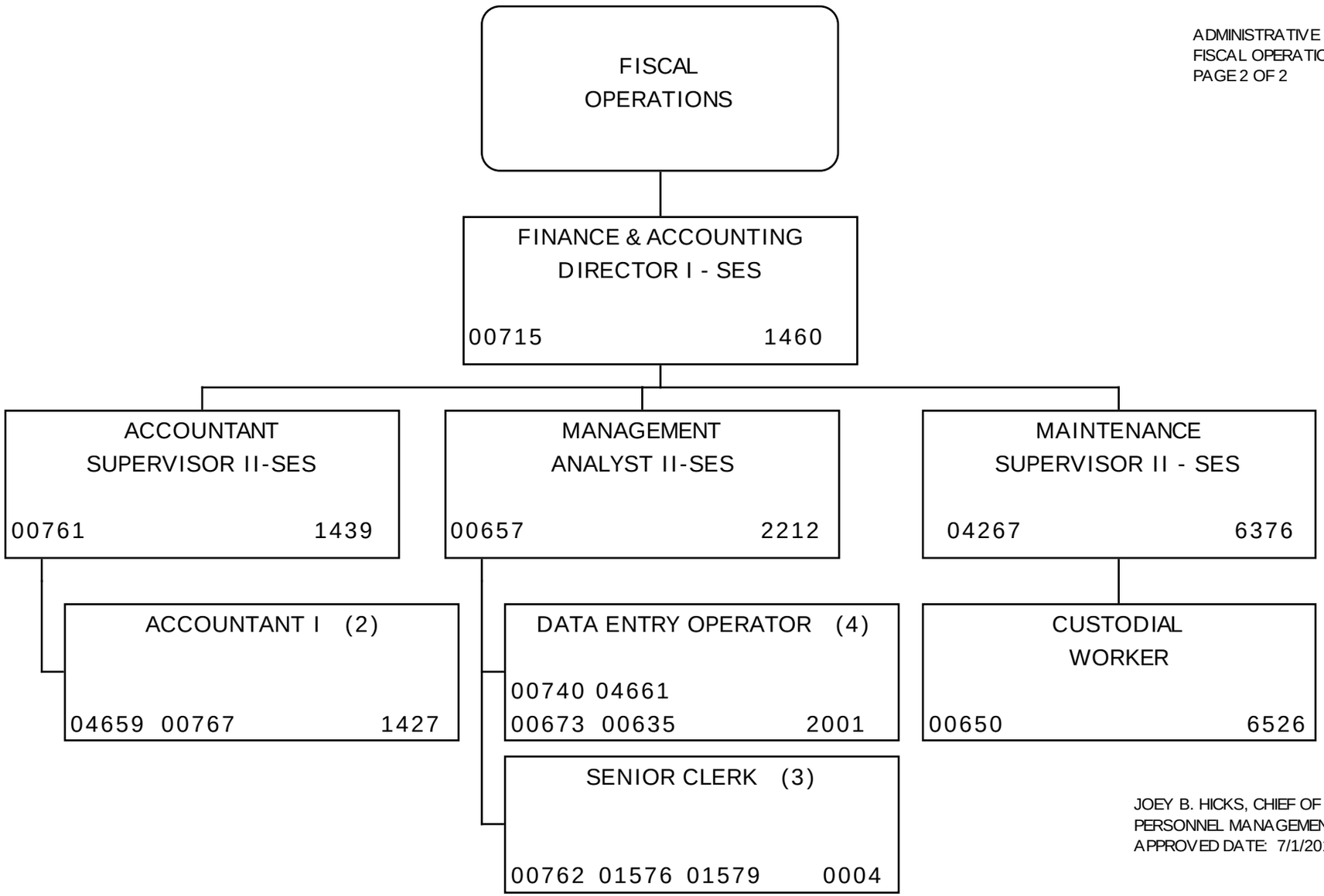
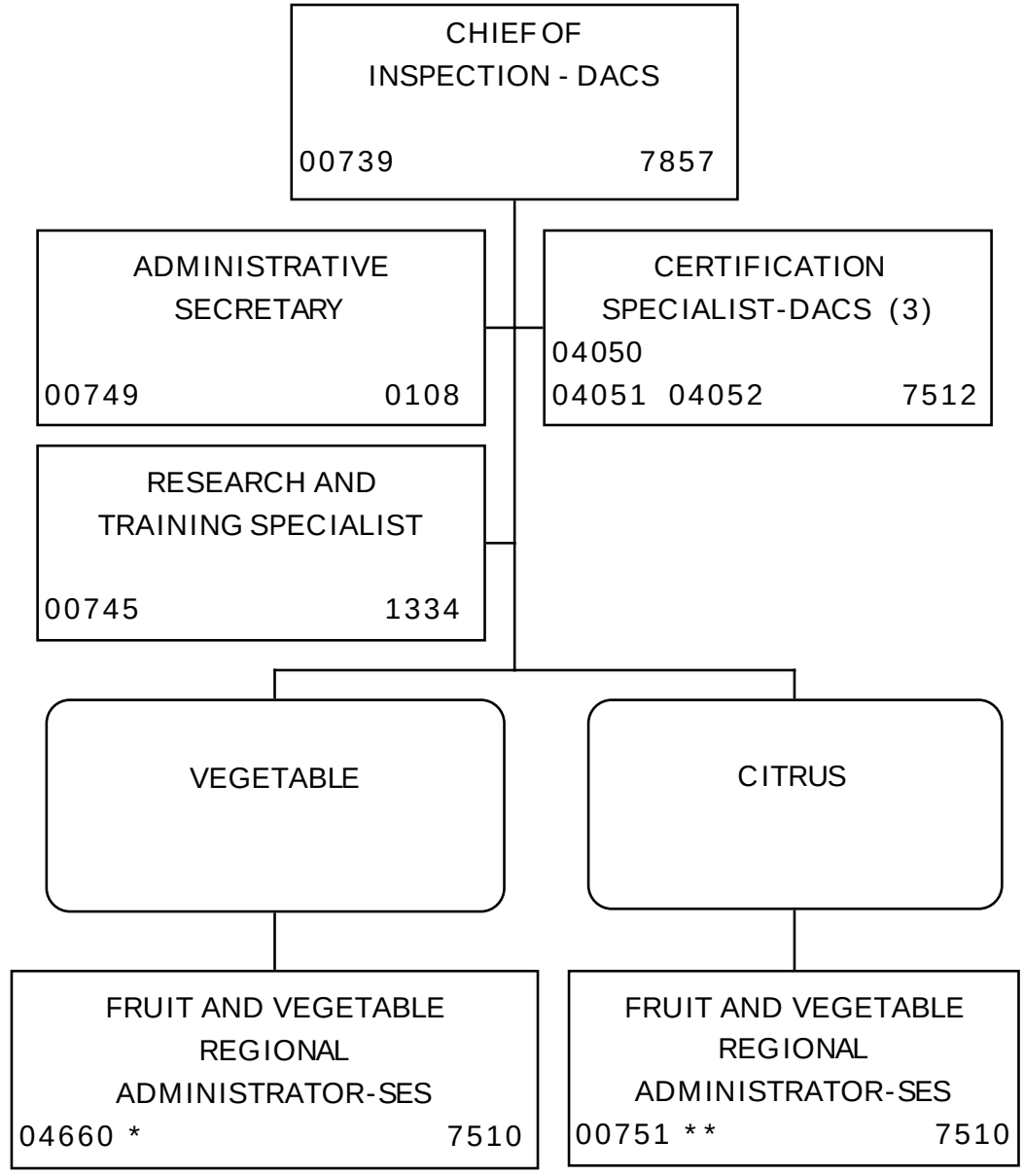
DIVISION OF FRUIT AND VEGETABLES



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

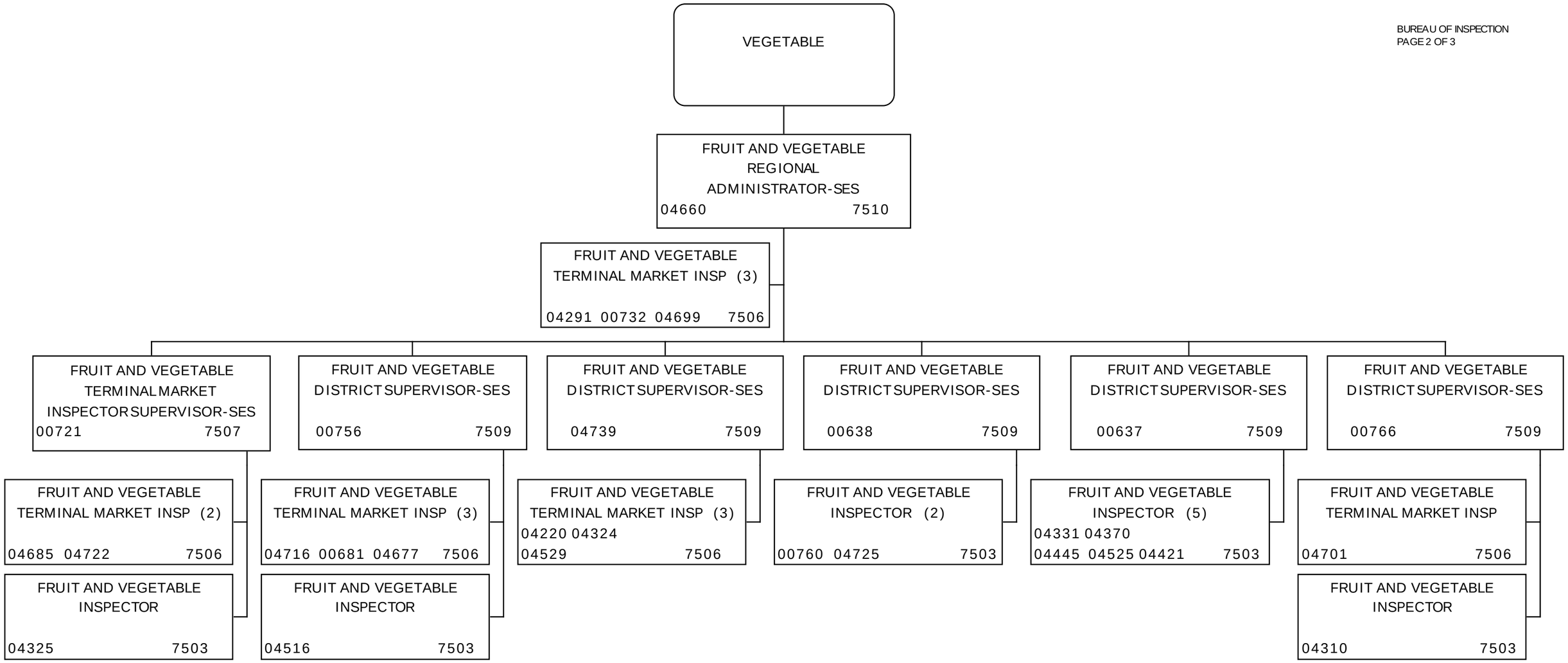
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FRUIT AND VEGETABLES



* See page 2
** See page 3

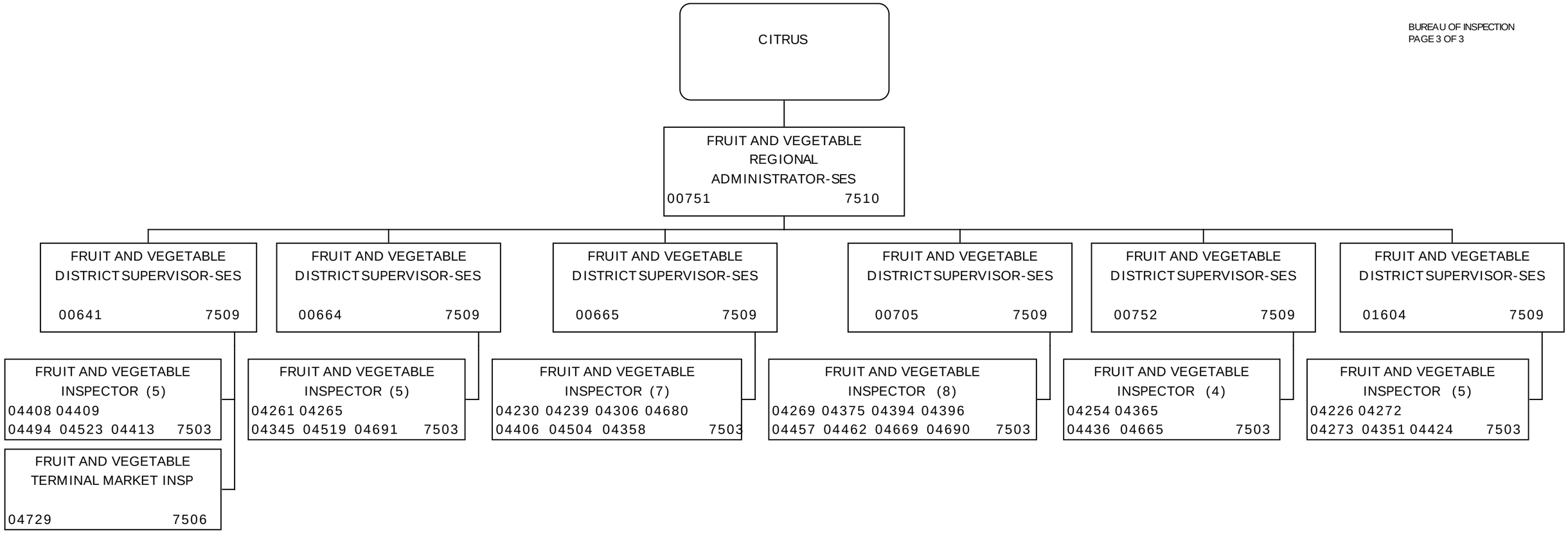
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/15/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FRUIT AND VEGETABLES



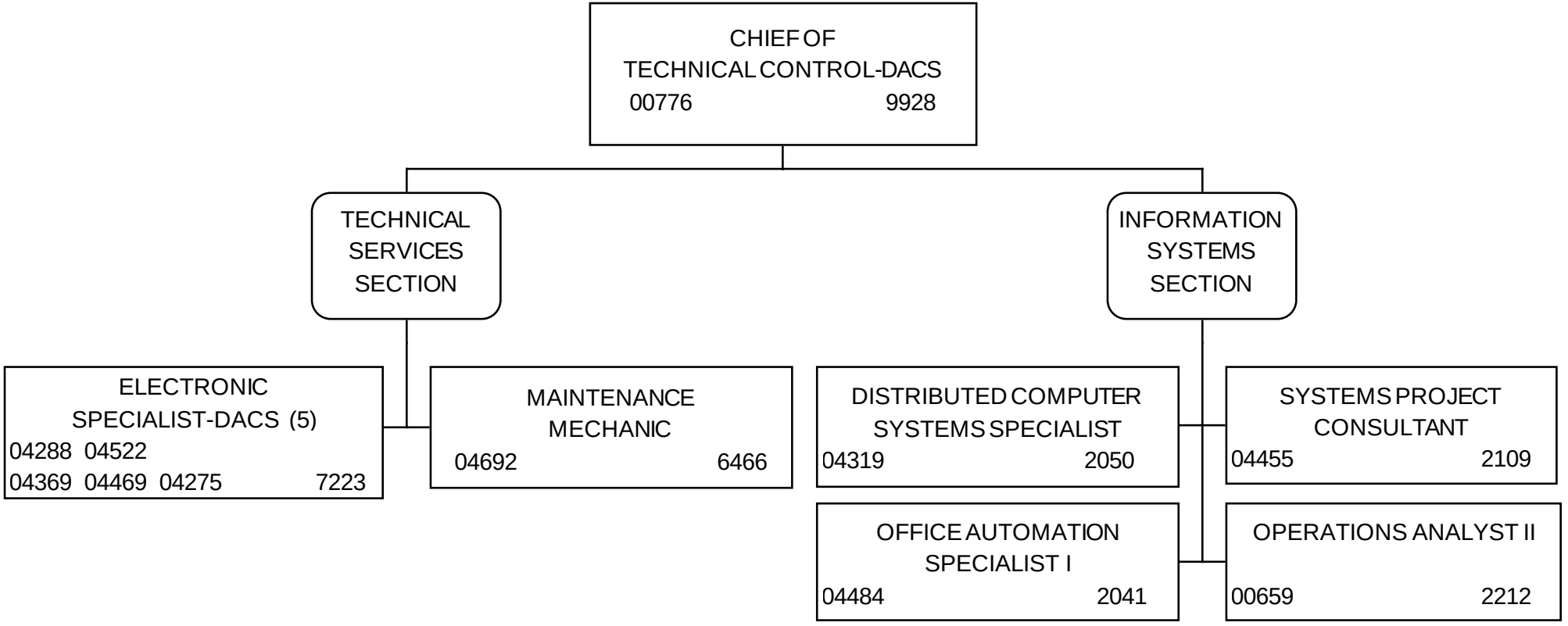
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FRUIT AND VEGETABLES



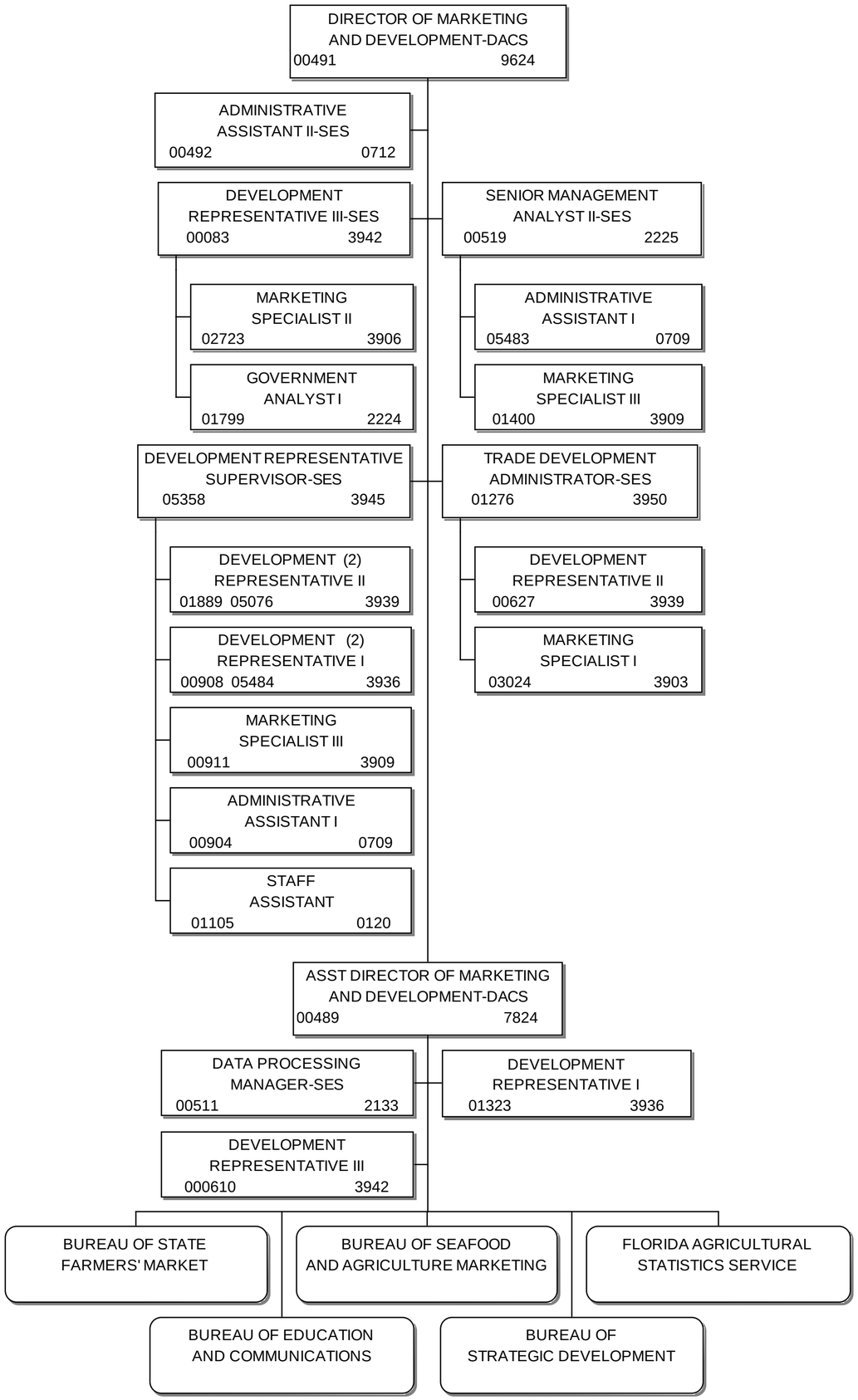
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

DEPAERTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF FRUIT AND VEGETABLES



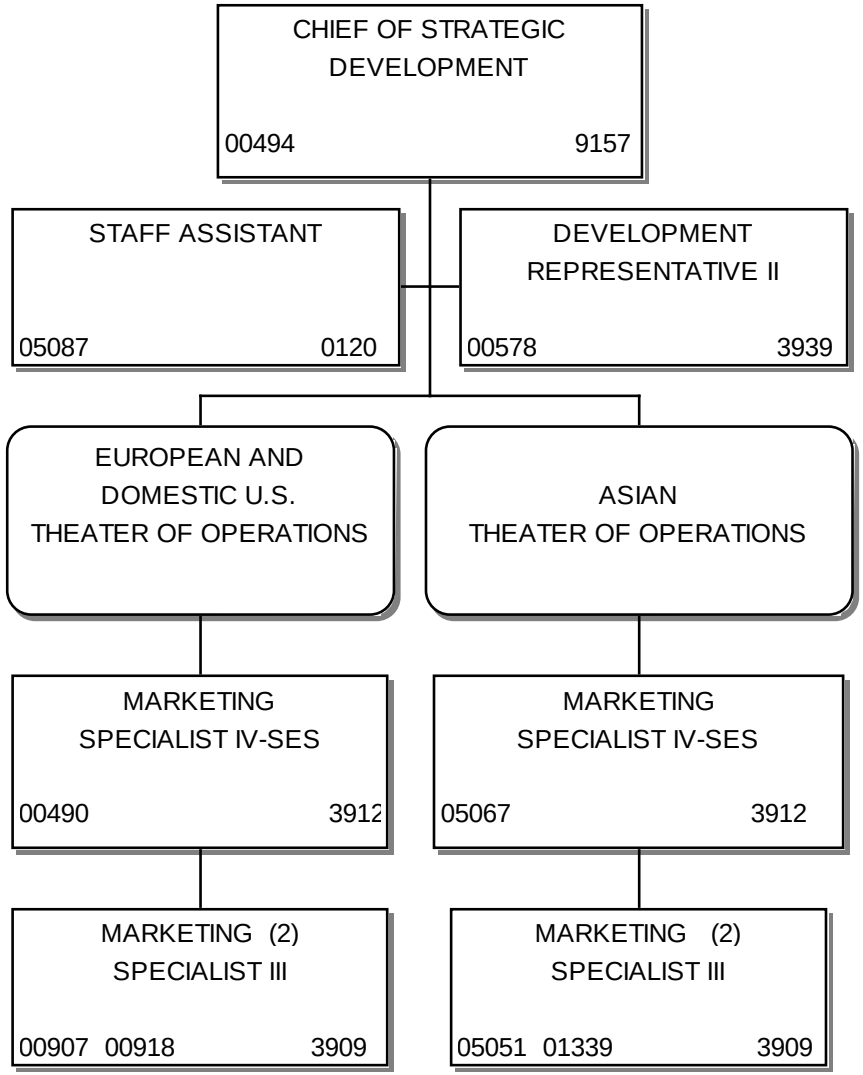
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMENT



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

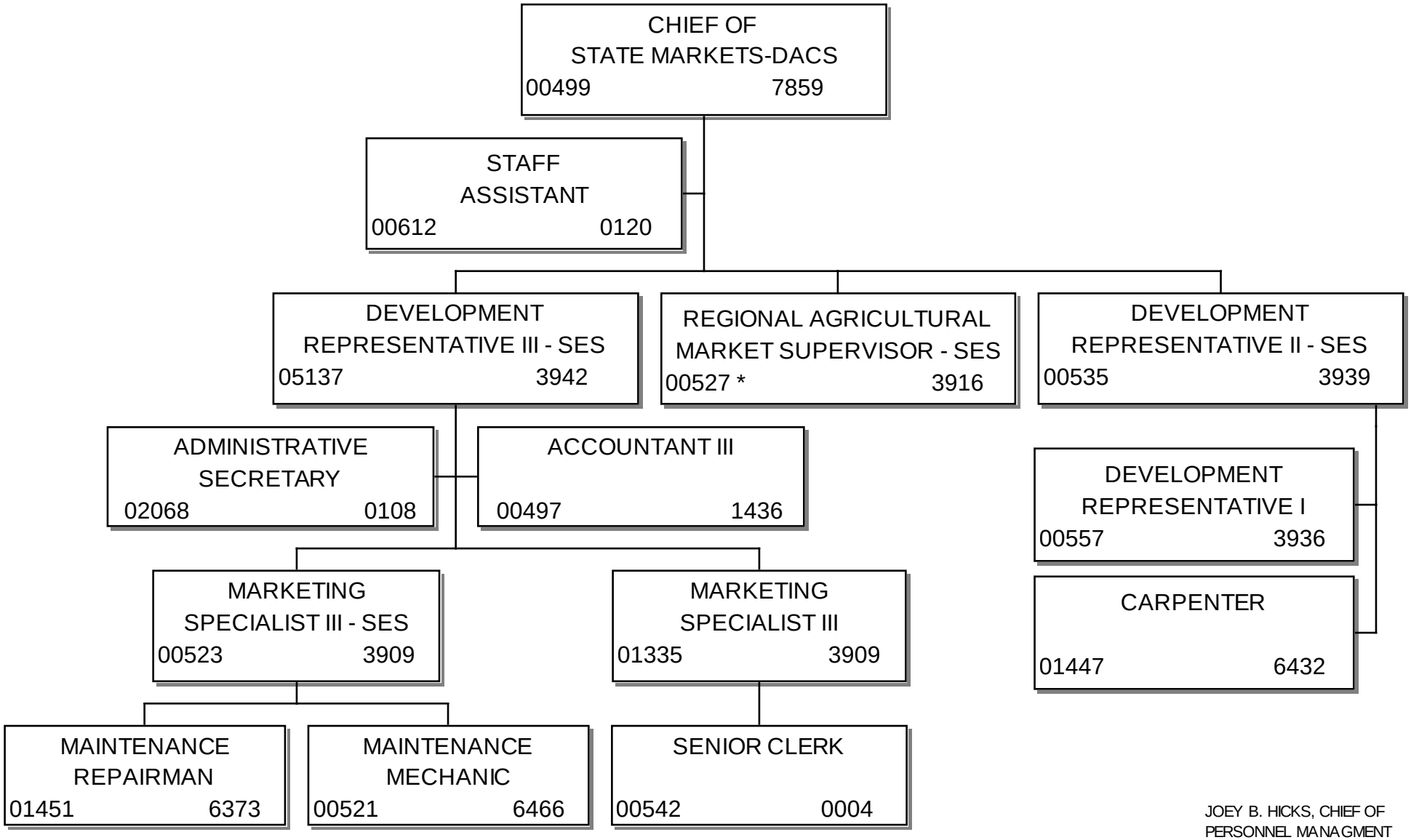
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMENT



BUREAU OF STRATEGIC DEVELOPMENT
PAGE 1 OF 1

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

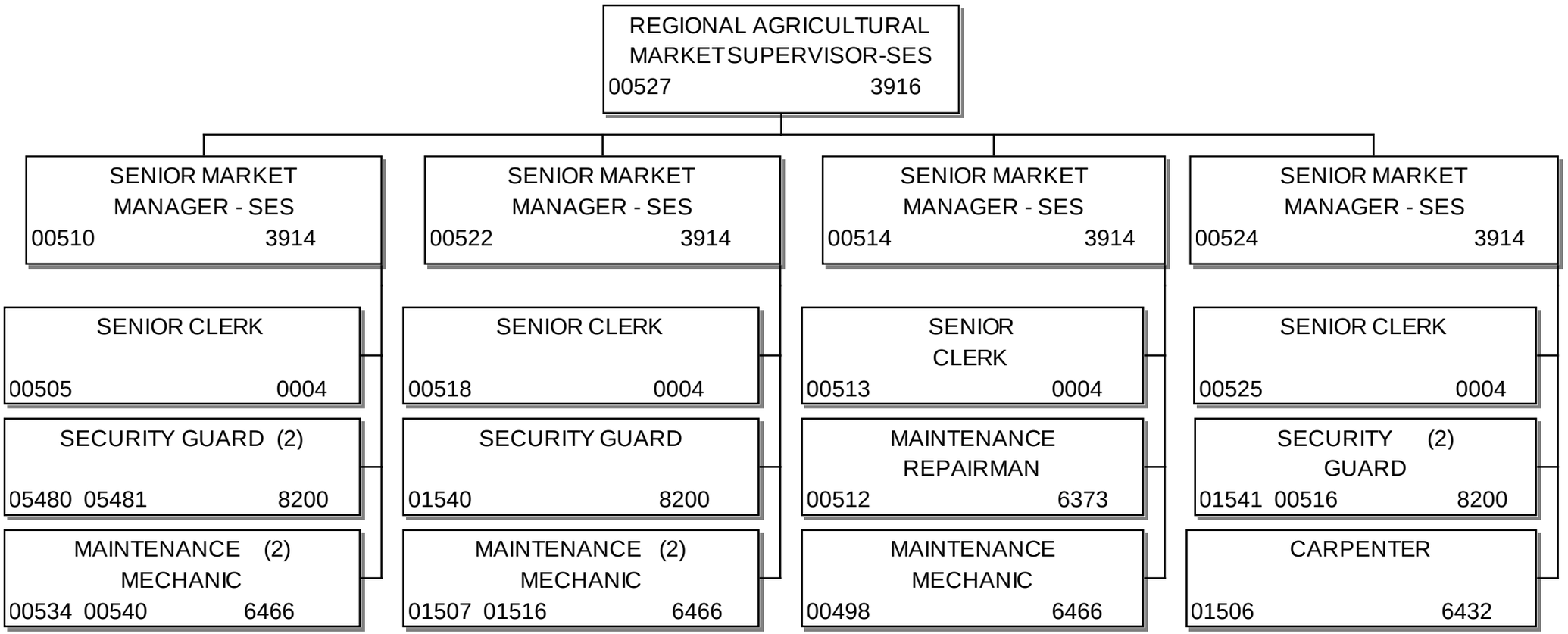
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMENT



* see pages 2 & 3

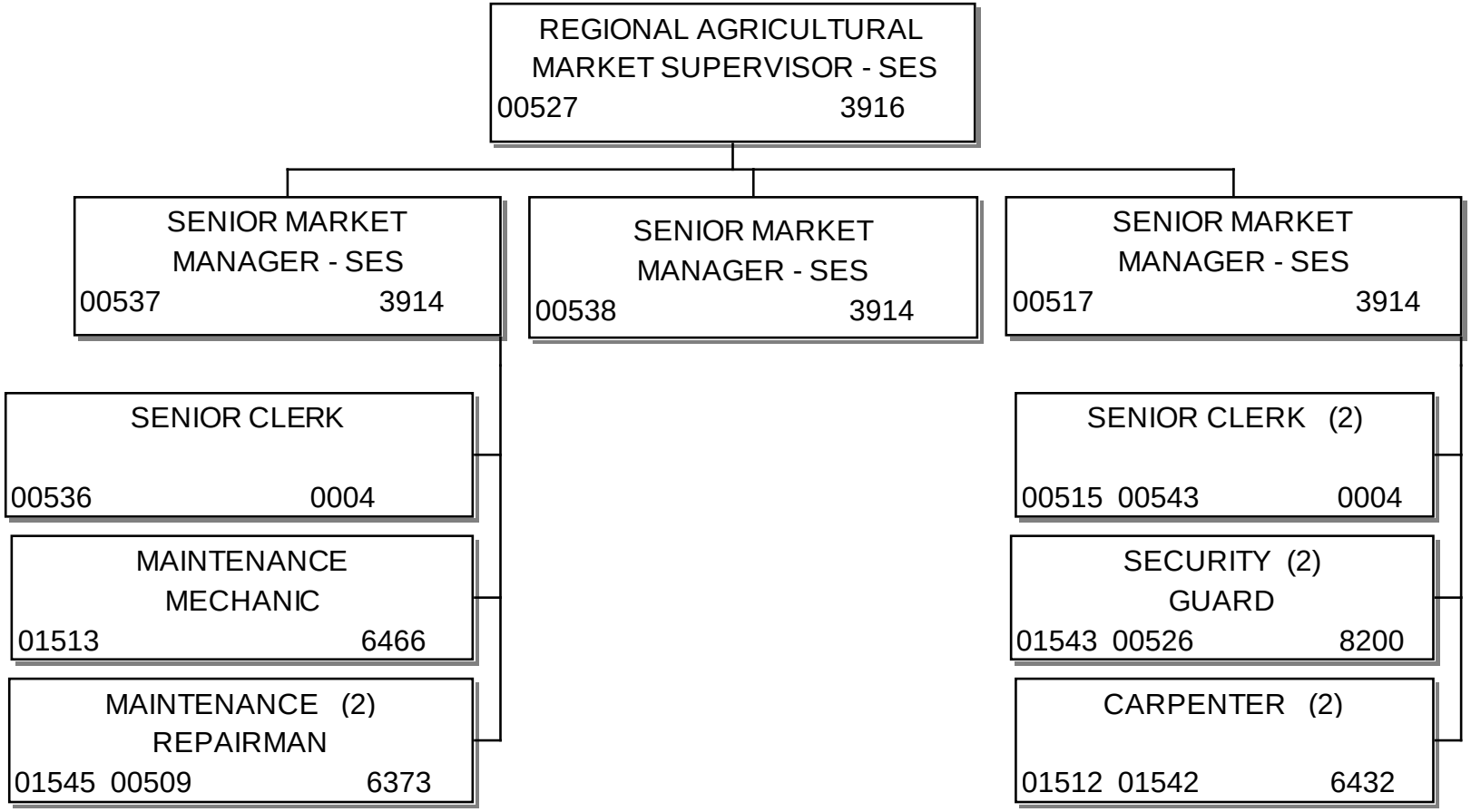
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGMENT
APPROVED DATE: 12/17/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMENT



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/1/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMENT



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
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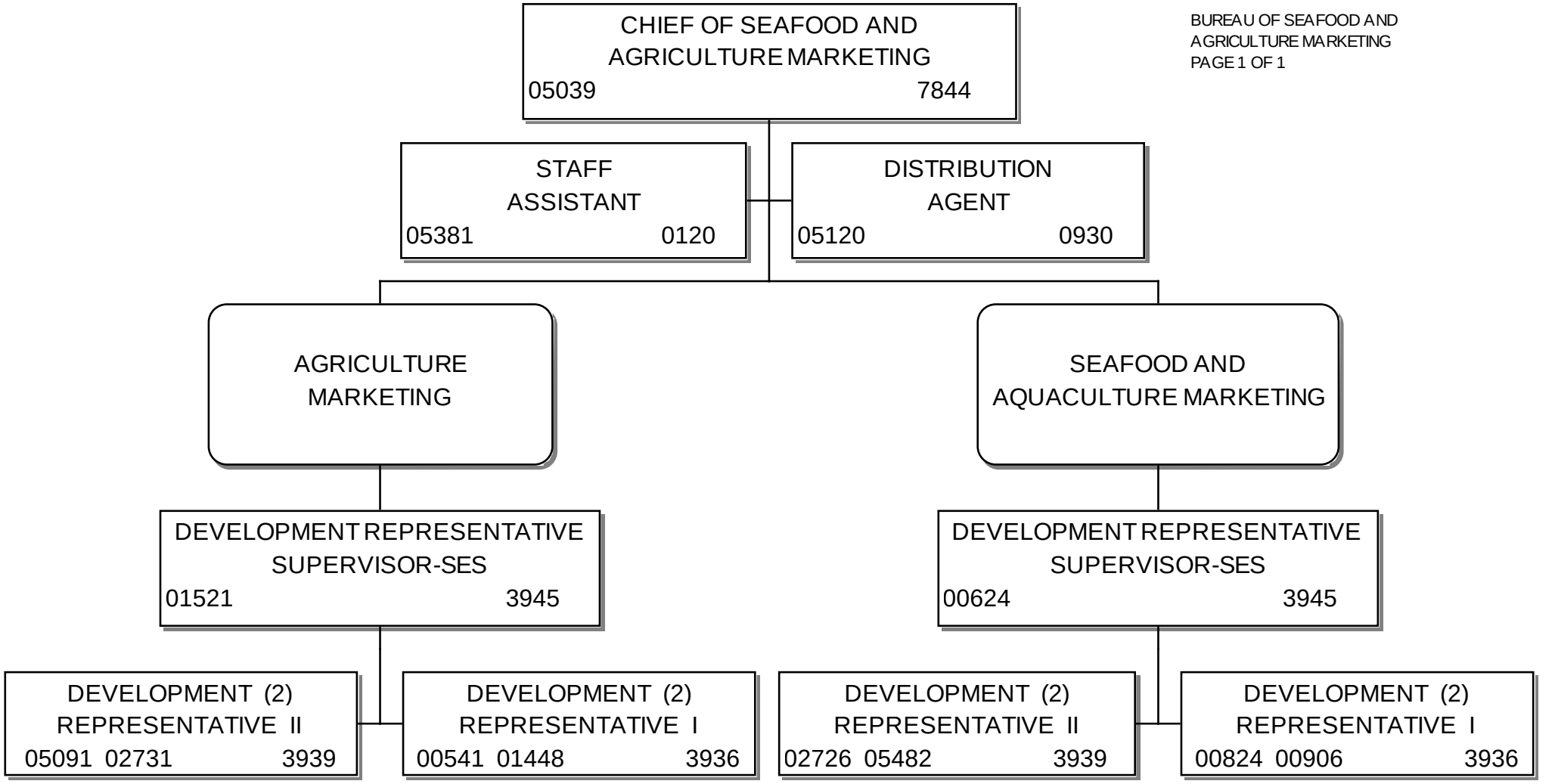
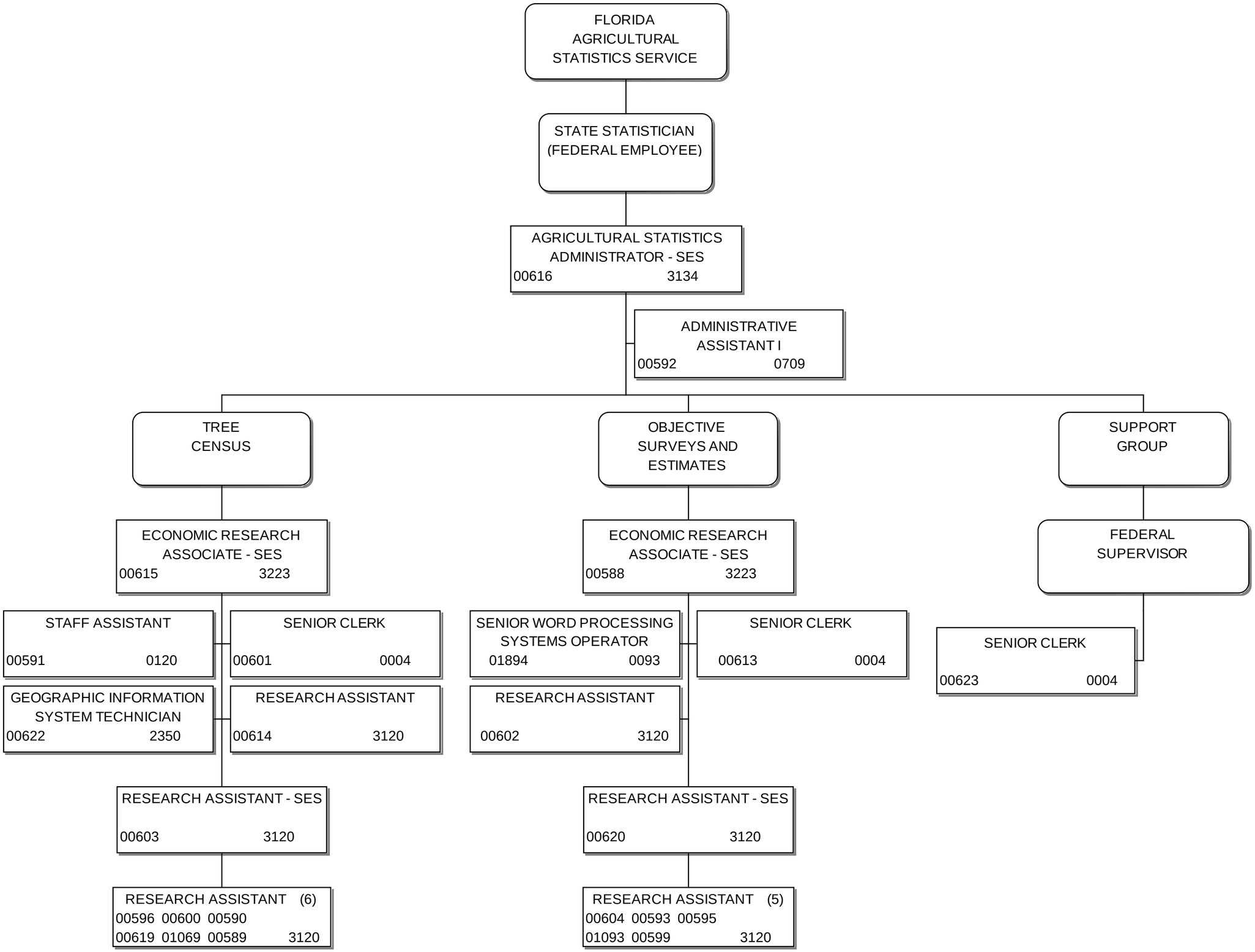
DIVISION OF MARKETING AND DEVELOPMENT



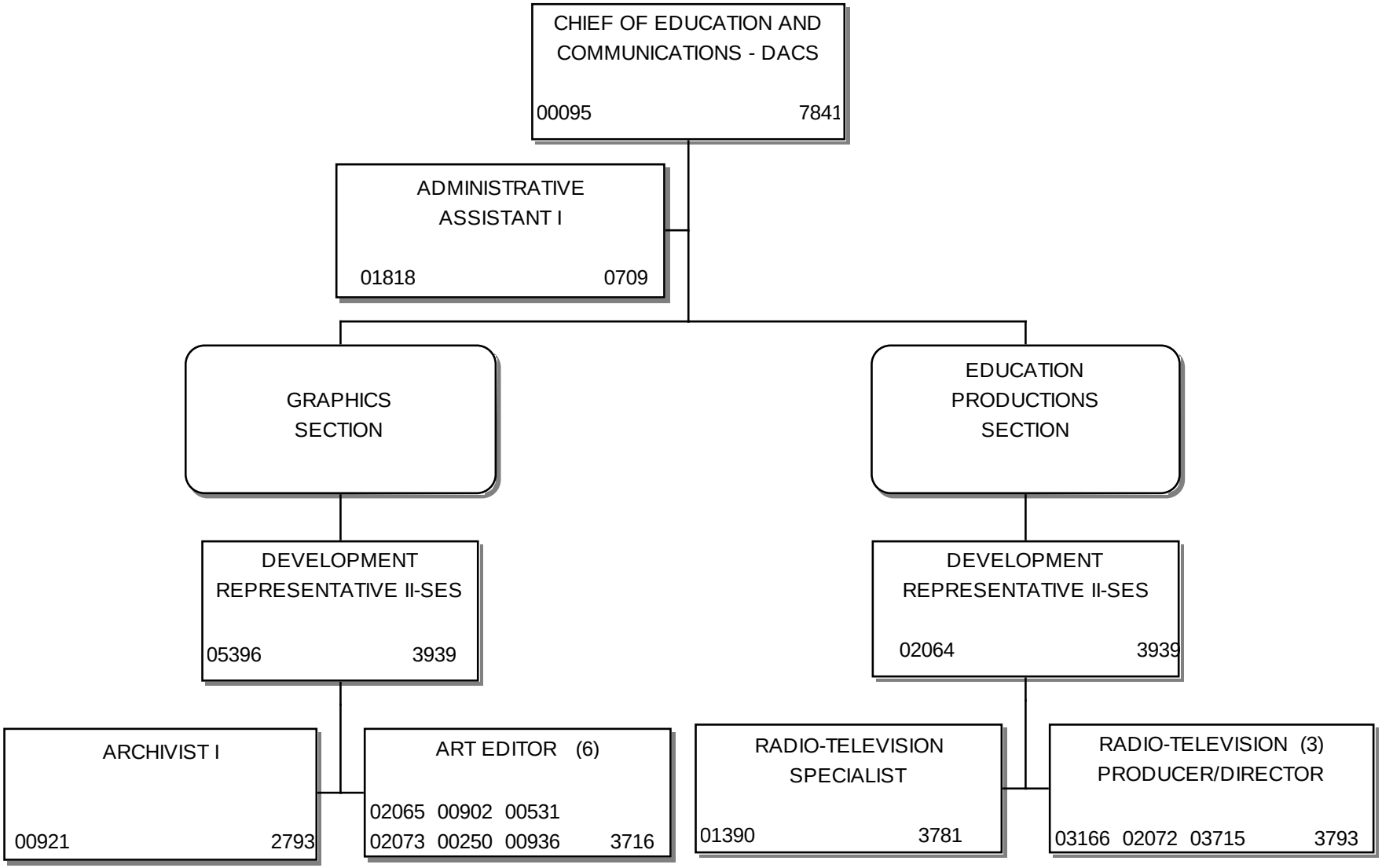
JOEY B. HICKS , CHIEF OF
PERSONNEL MANAGMENT
APPROVED DATE : 6/5/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMNET



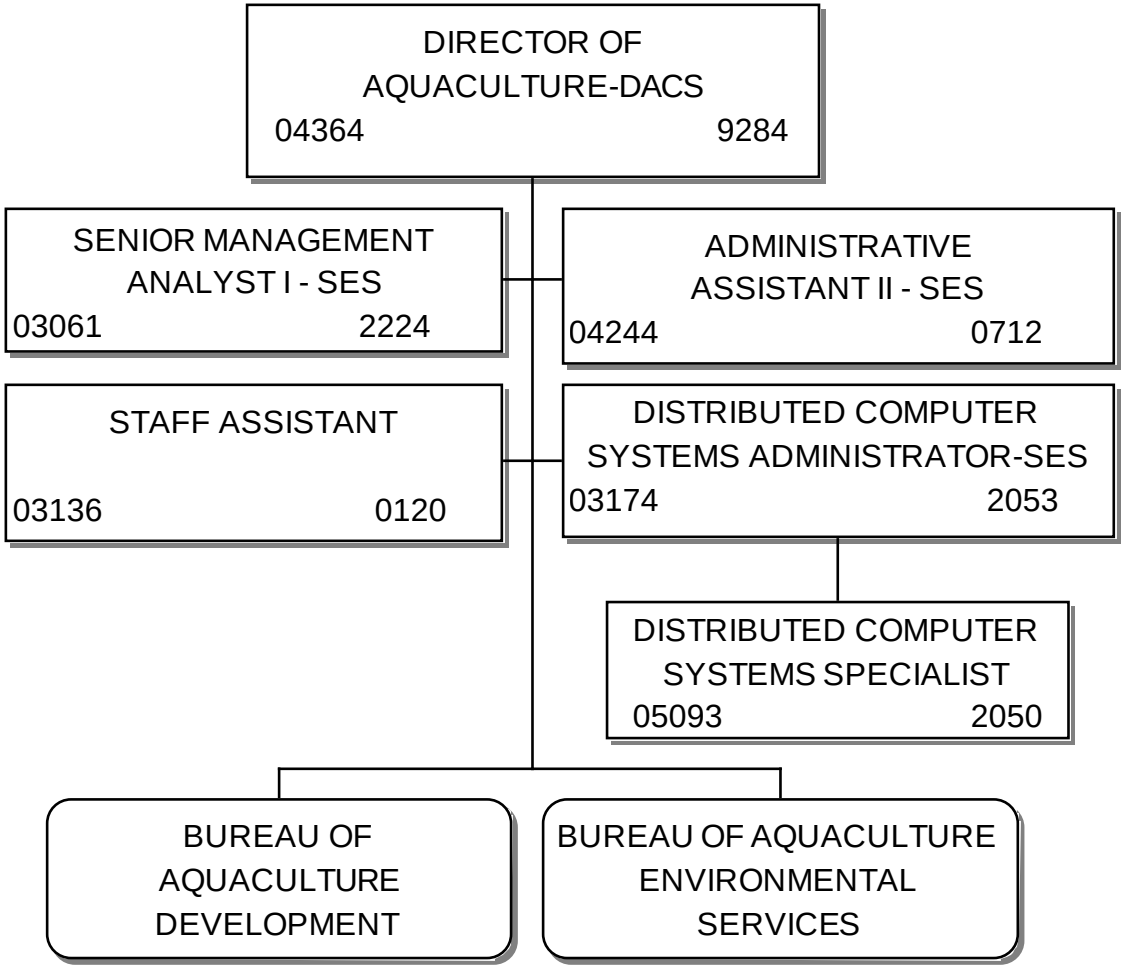
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF MARKETING AND DEVELOPMENT



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/17/2014

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES DIVISION OF AQUACULTURE



JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
DATE APPROVED: 7/1/2013

DEPARTMENT OF AGRICULTURE
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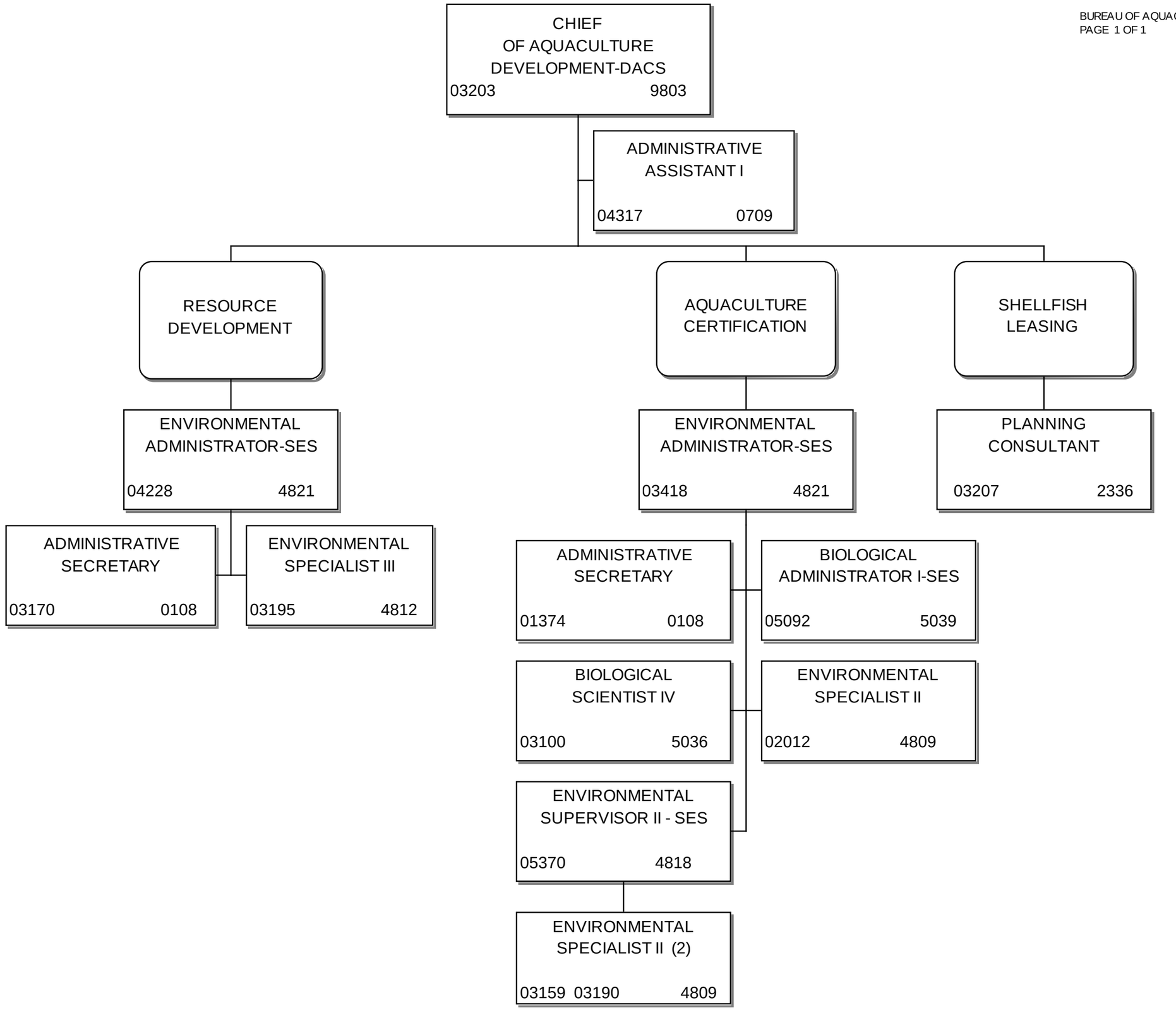
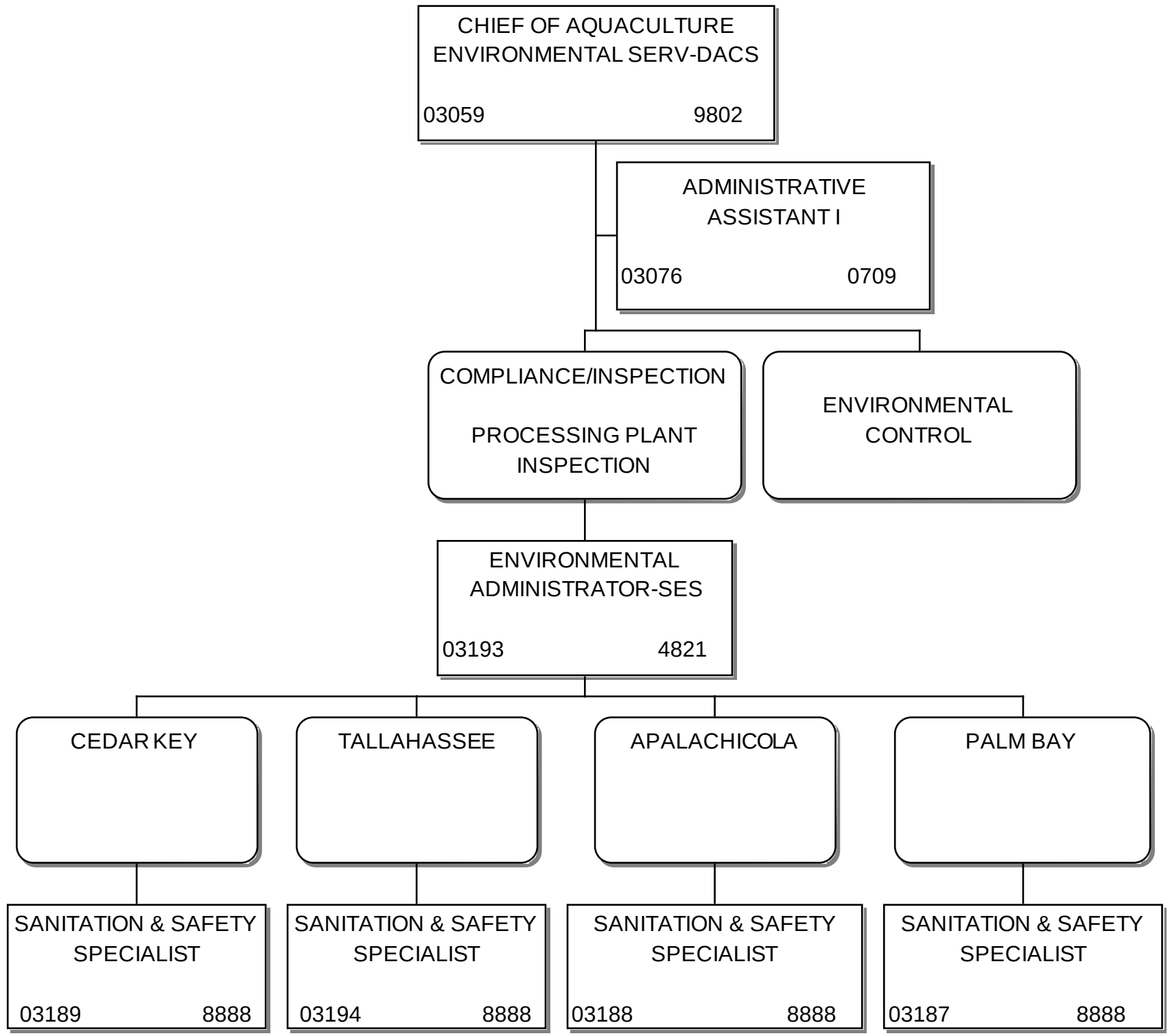
DIVISION OF AQUACULTURE



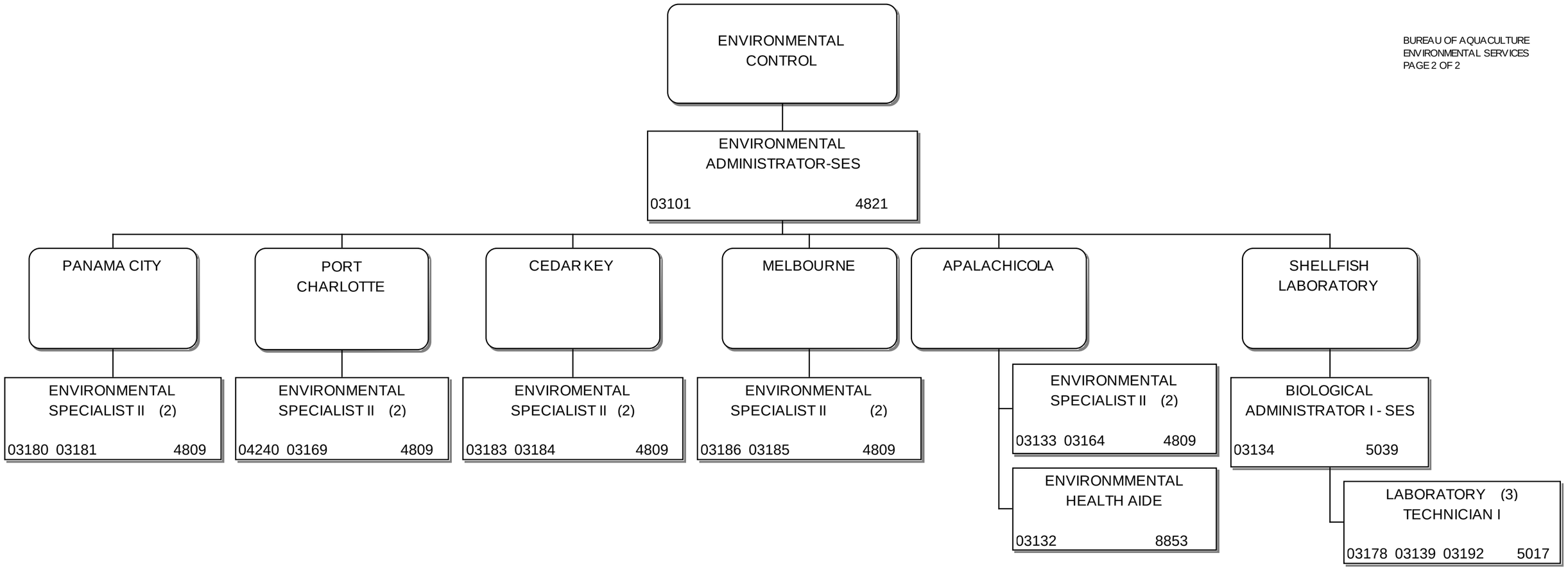
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 04/24/2015

DEPARTMENT OF AQUACULTURE
AND CONSUMER SERVICES
DIVISION OF AQUACULTURE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 4/24/2015

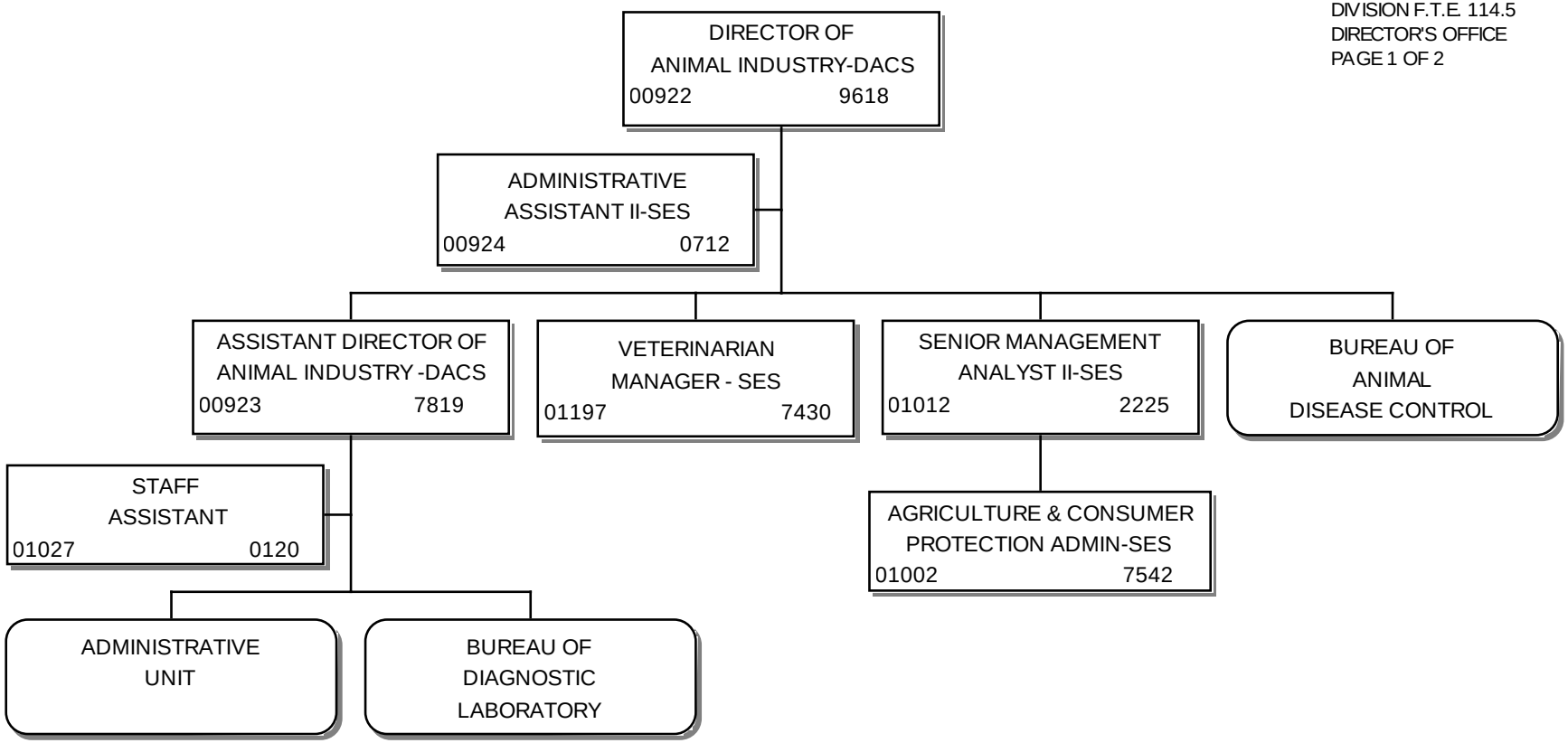
DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF AQUACULTURE



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
DATE APPROVED: 1/3/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ANIMAL INDUSTRY

DIVISION F.T.E. 114.5
DIRECTOR'S OFFICE
PAGE 1 OF 2



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 4/24/2015

DEPARTMENT OF AGRICULTURE
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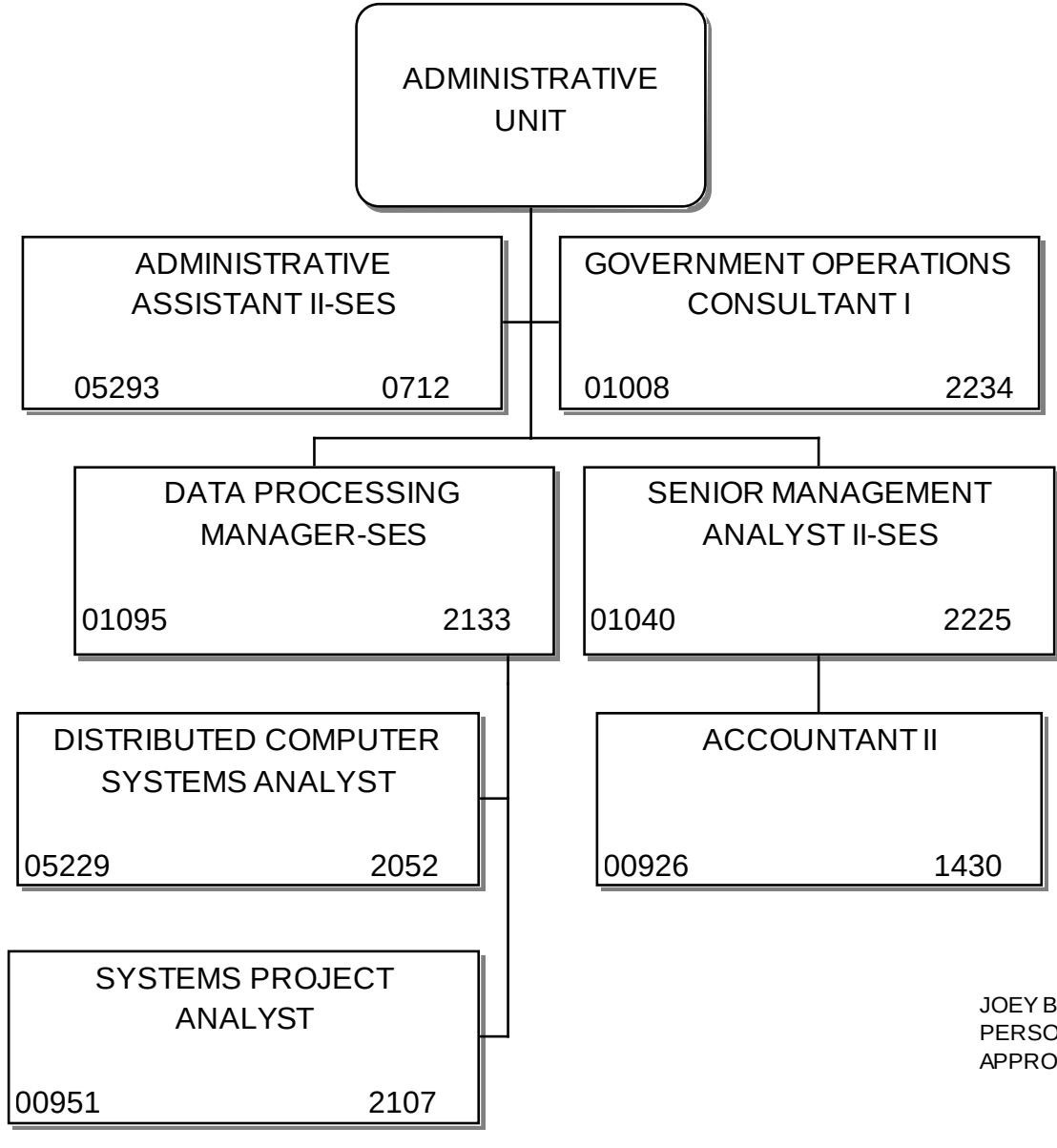
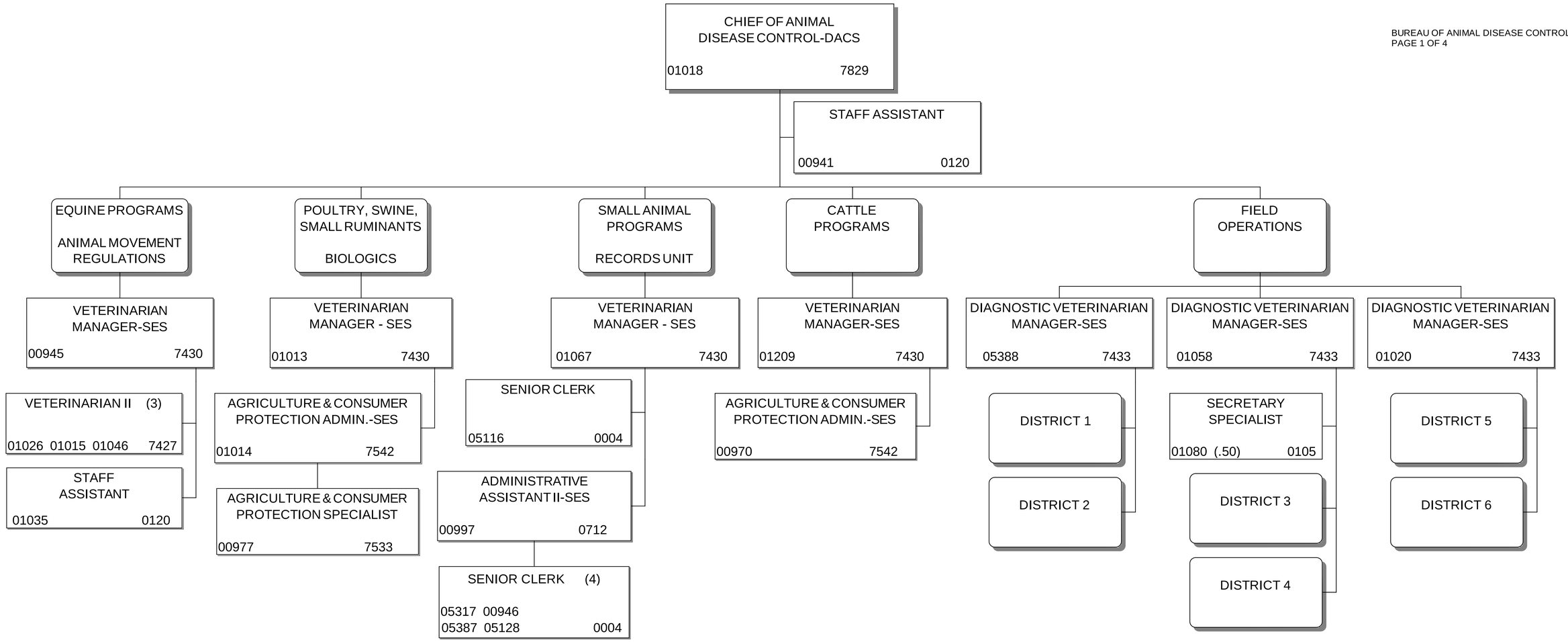
DIVISION OF ANIMAL INDUSTRY



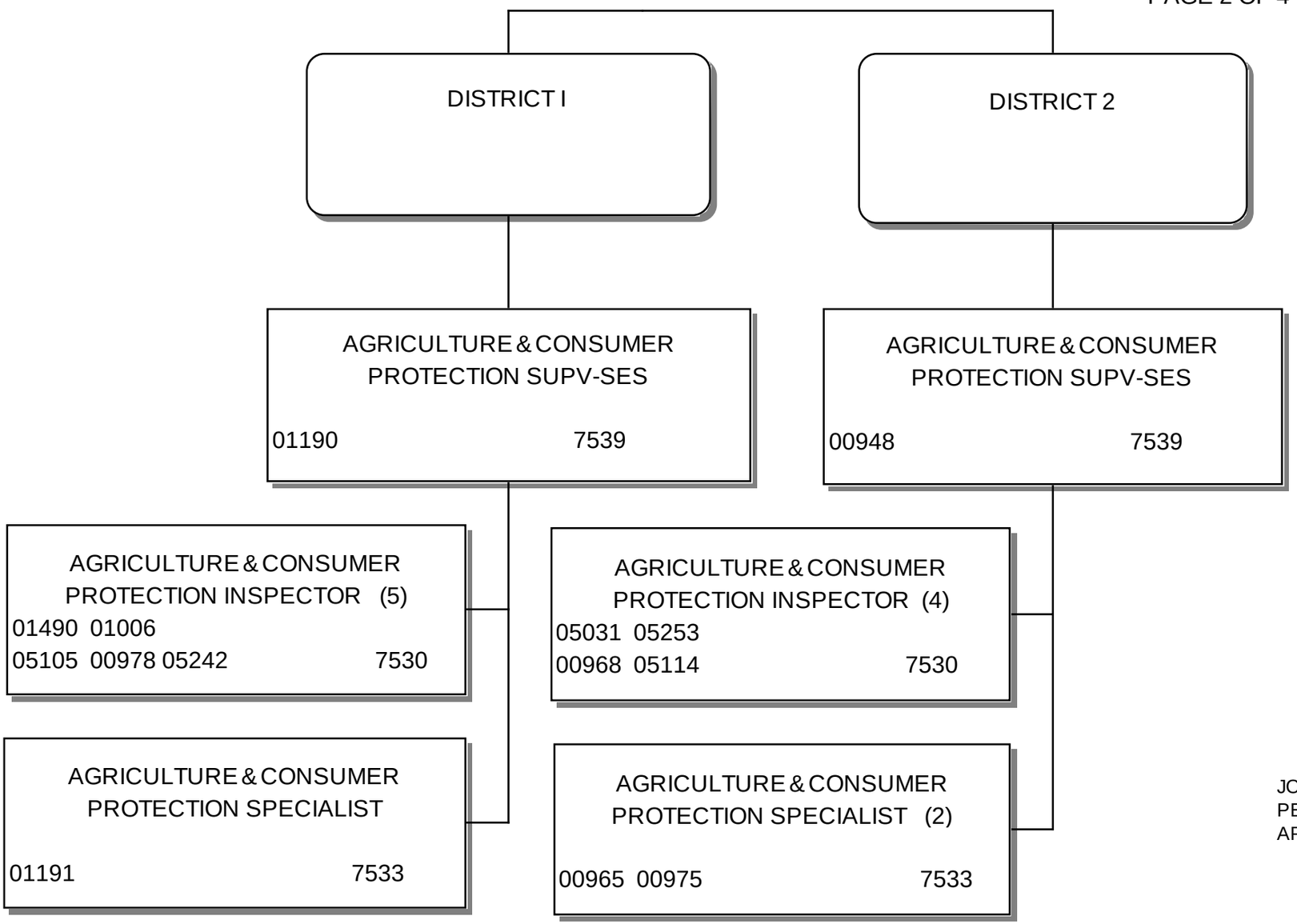
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 6/19/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ANIMAL INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 4/24/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ANIMAL INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 1/30/2015

DEPARTMENT OF AGRICULTURE
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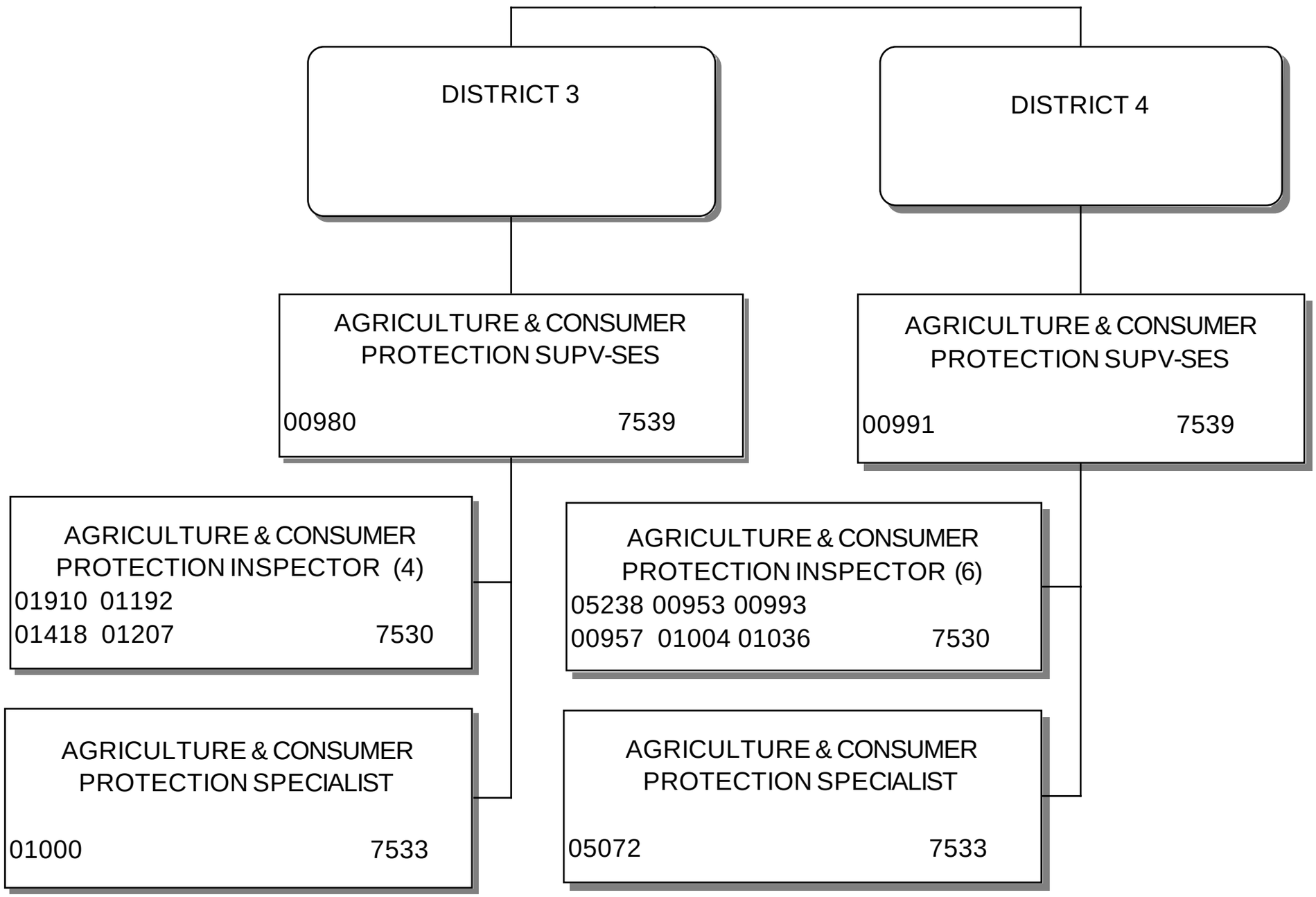
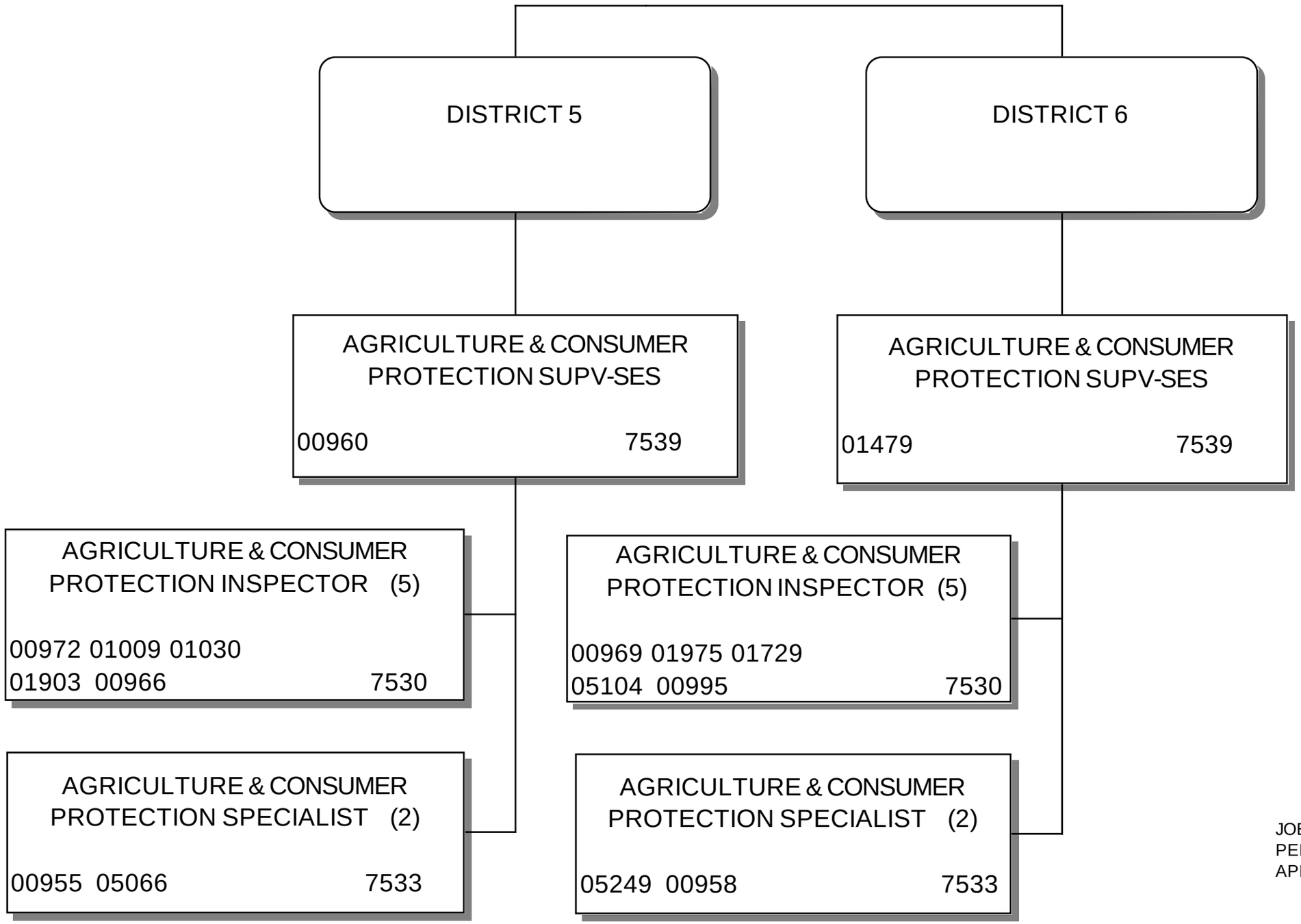
DIVISION OF ANIMAL INDUSTRY



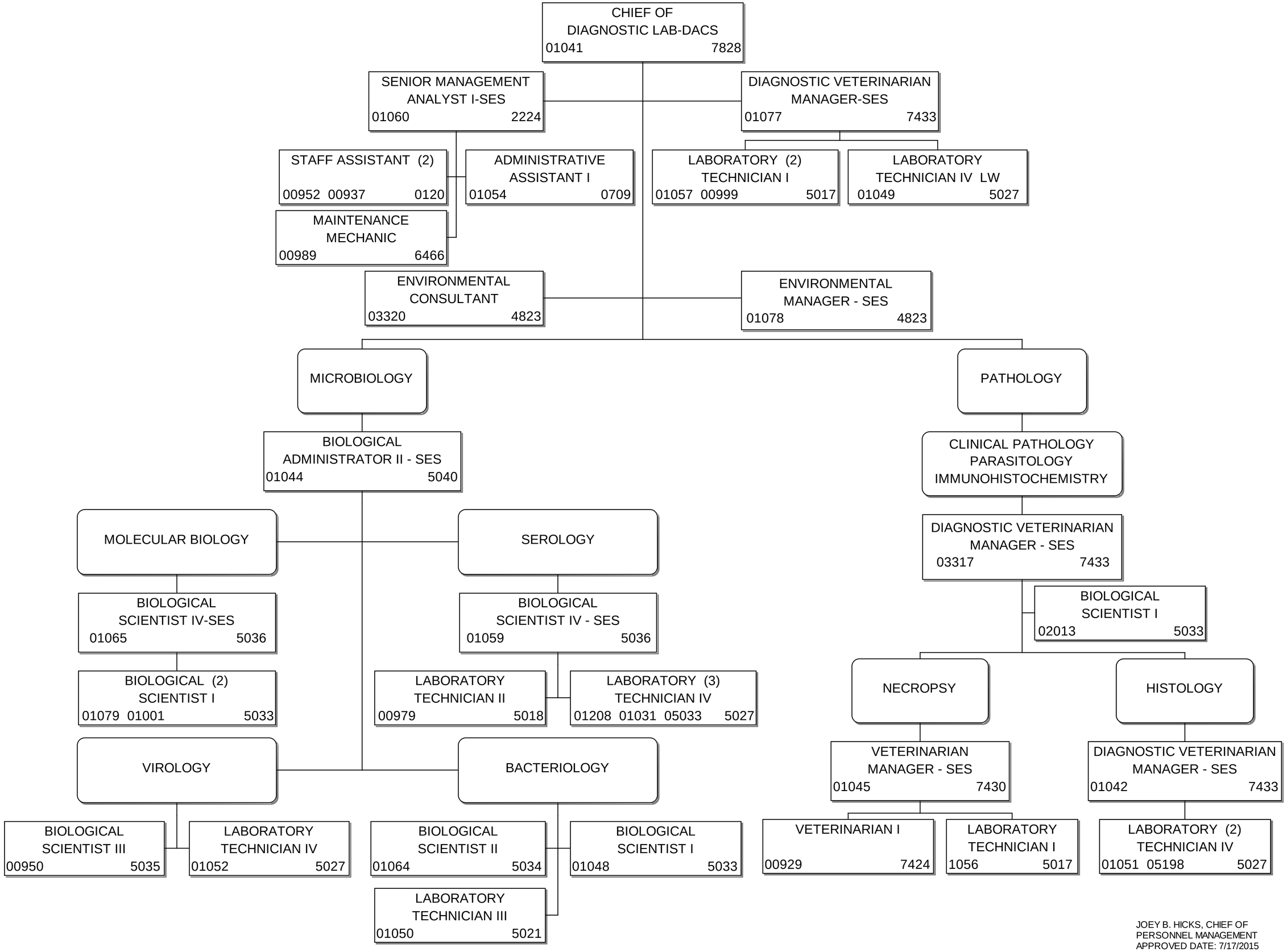
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/9/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ANIMAL INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 4/25/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF ANIMAL INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/17/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY

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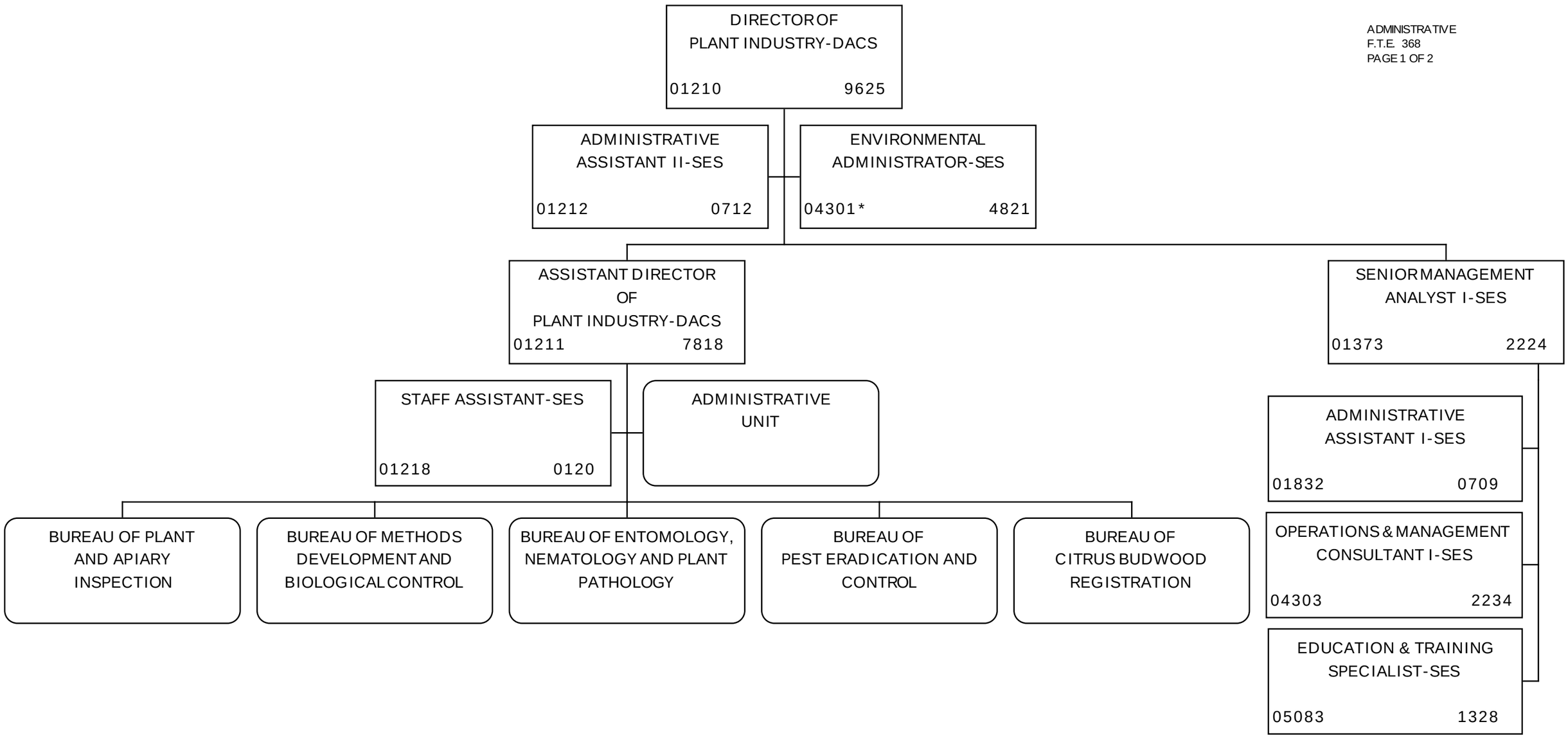
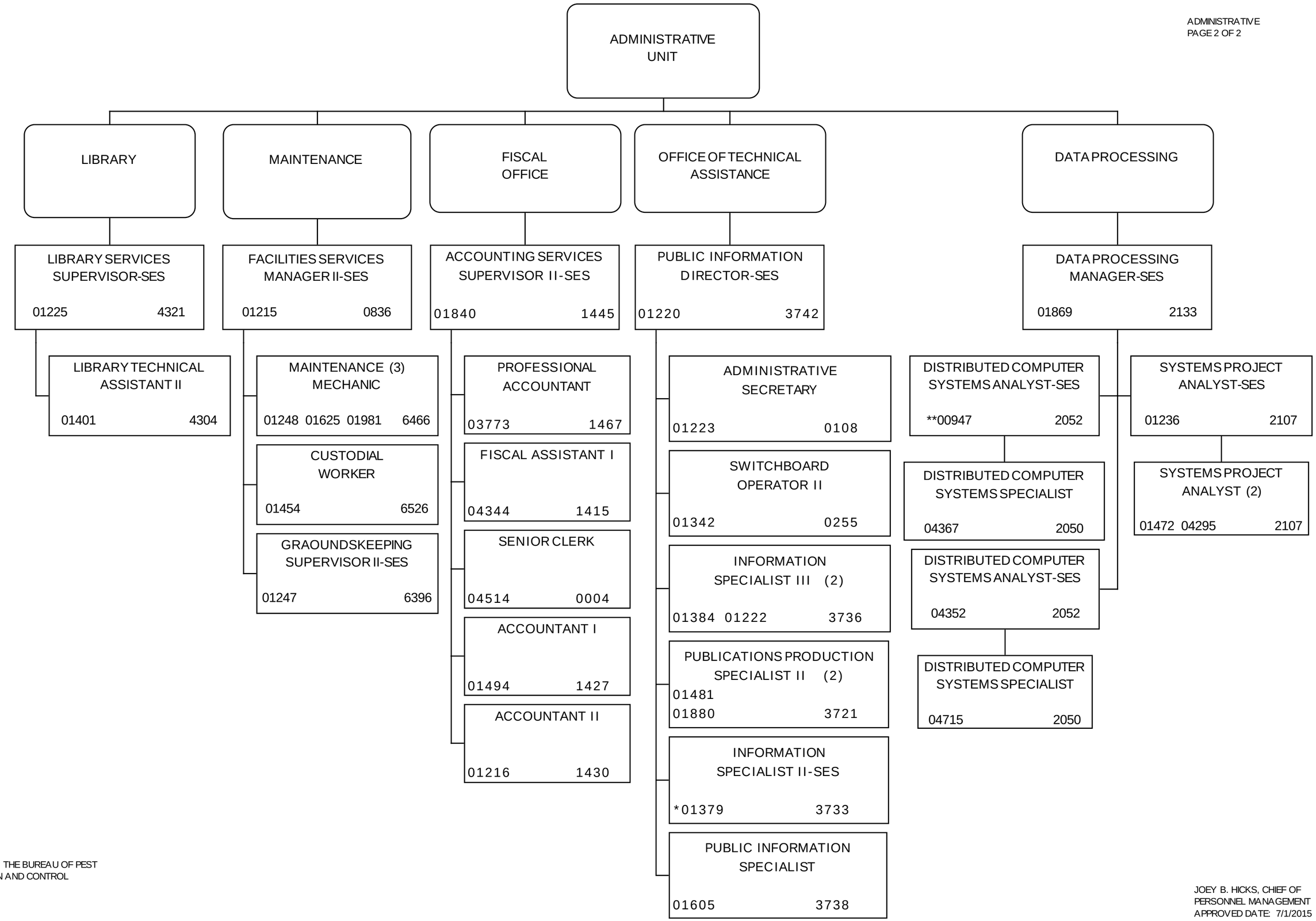
PAGE 1 OF 2



*Funded from Bureau of Pest
Eradication and Control

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



**FUNDED BY THE BUREAU OF PEST ERADICATION AND CONTROL

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2015

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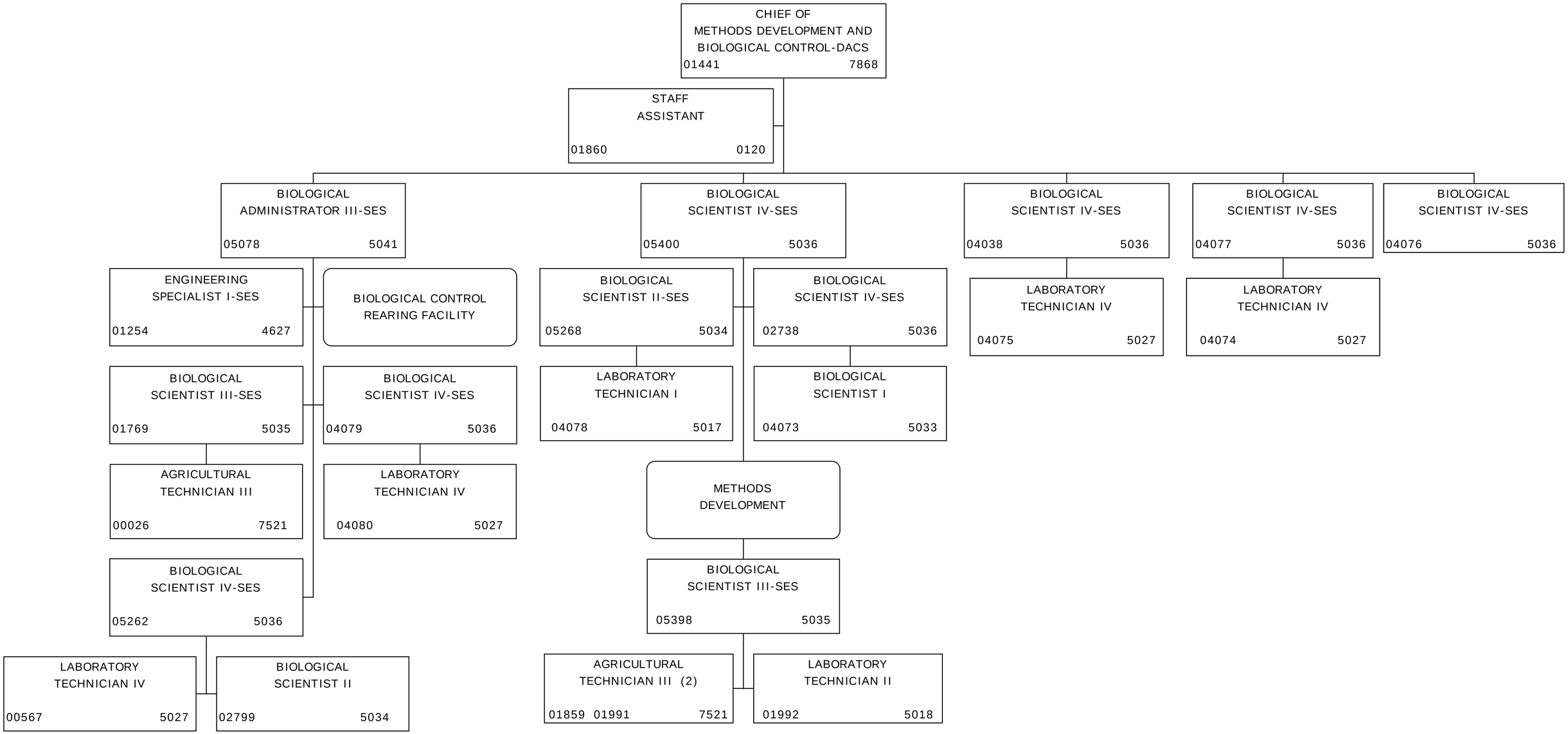
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/2/2013

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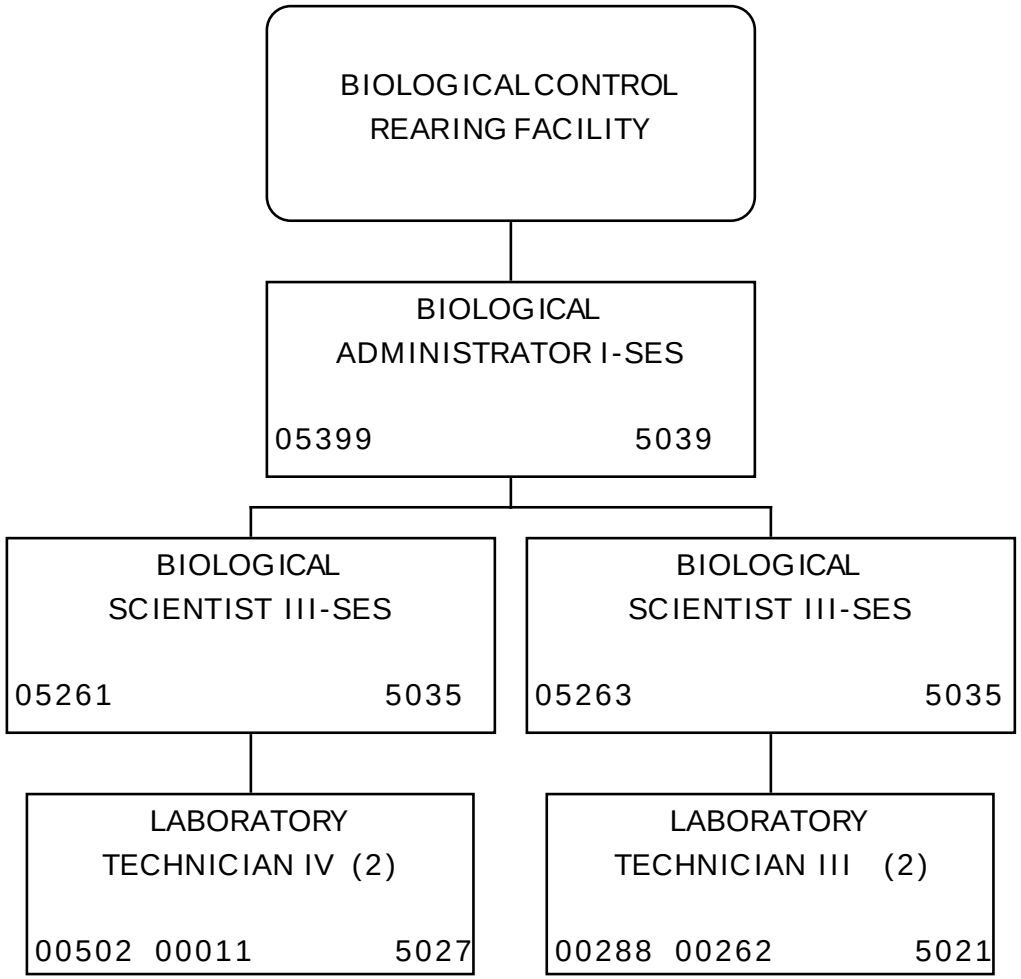
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/5/2014

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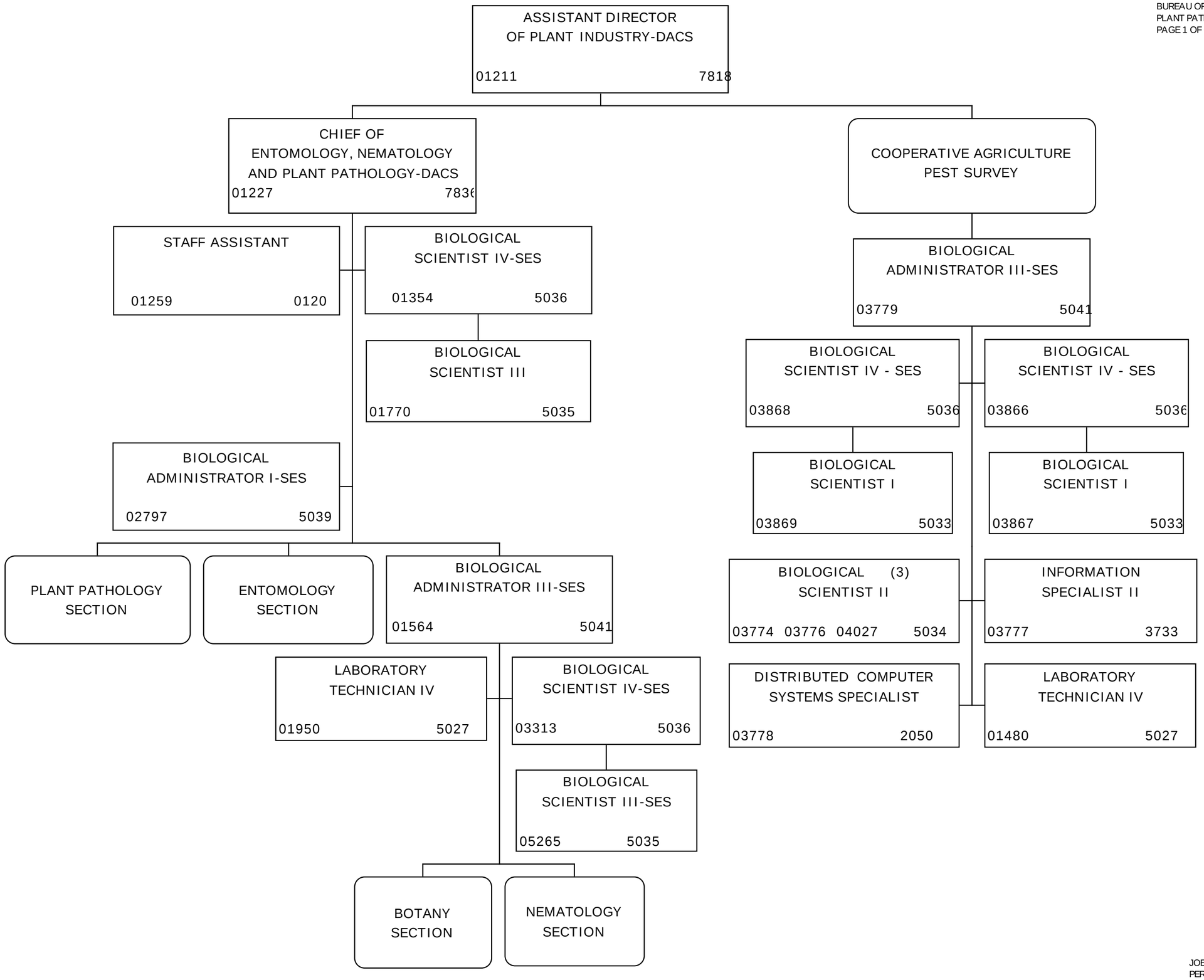
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 2/20/2015

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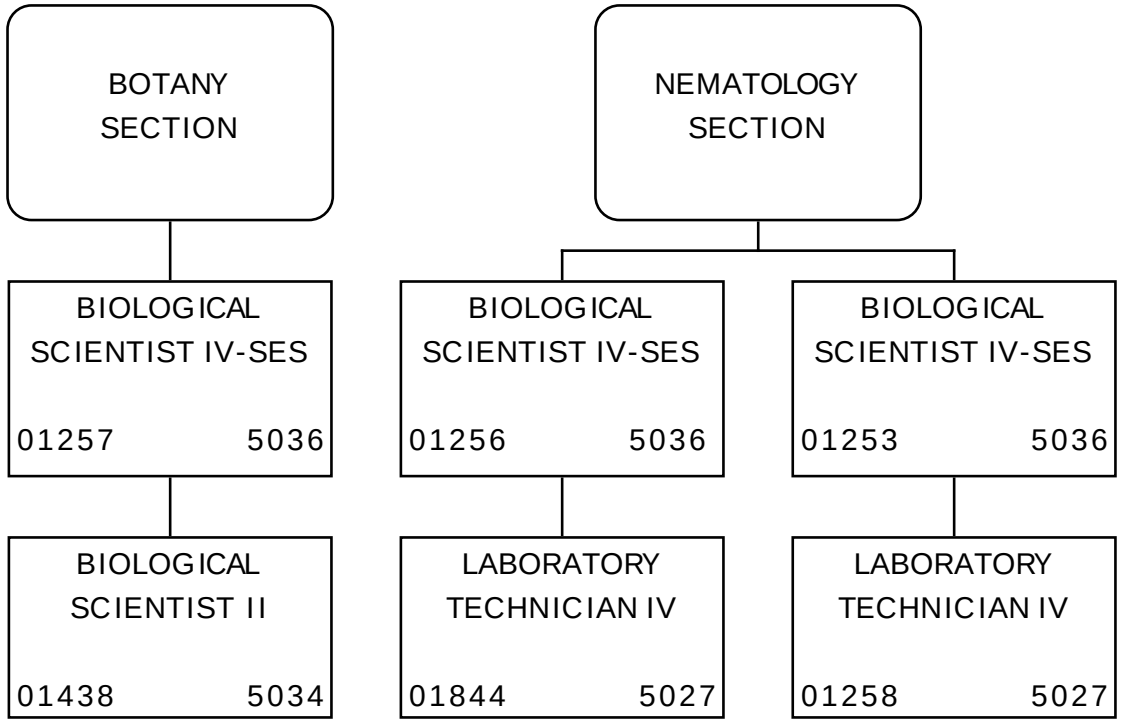
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/5/2014

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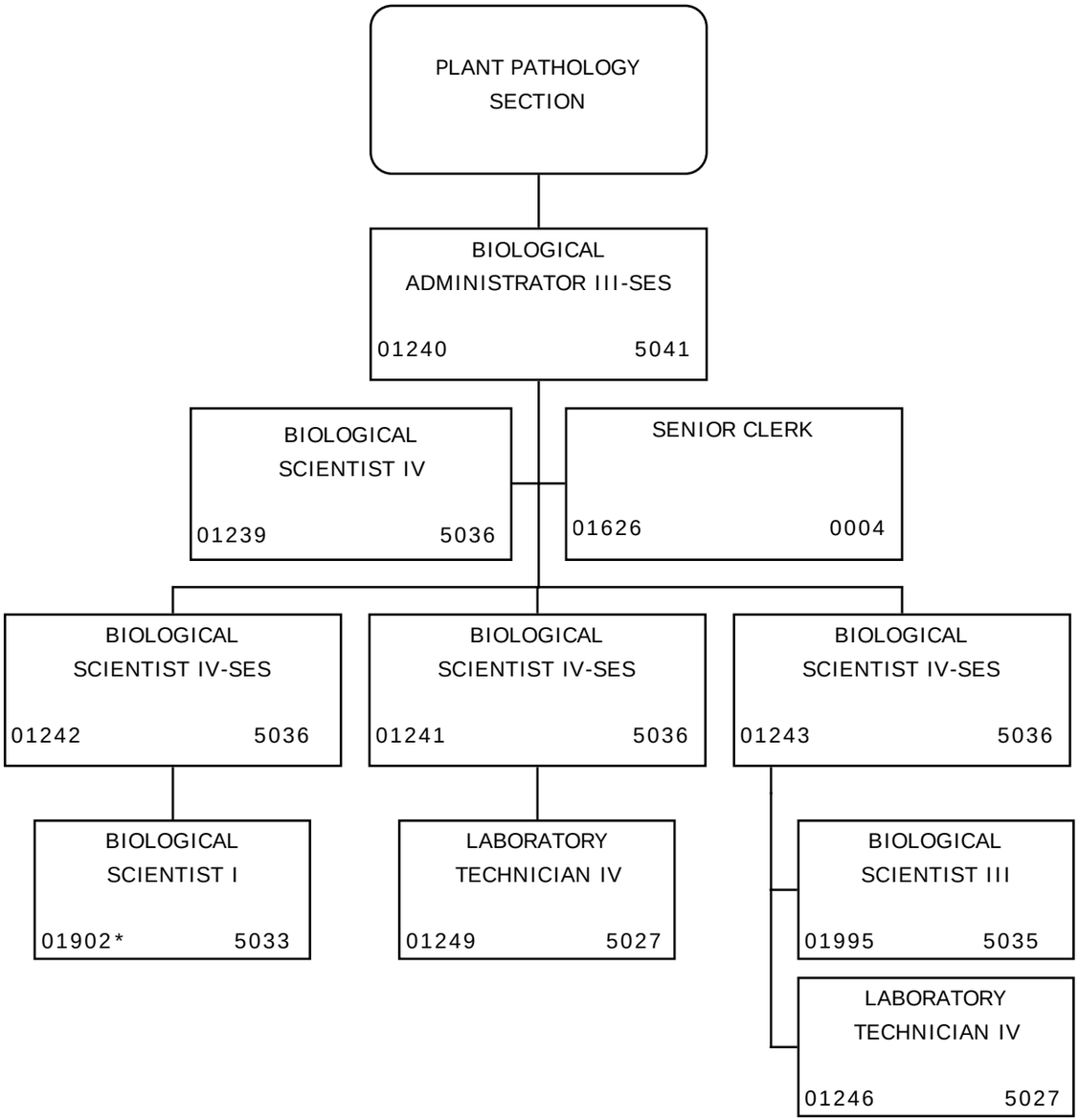
DIVISION OF PLANT INDUSTRY



* FUNDED FROM BUREAU OF PEST ERADICATION AND CONTROL

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 3/27/2015

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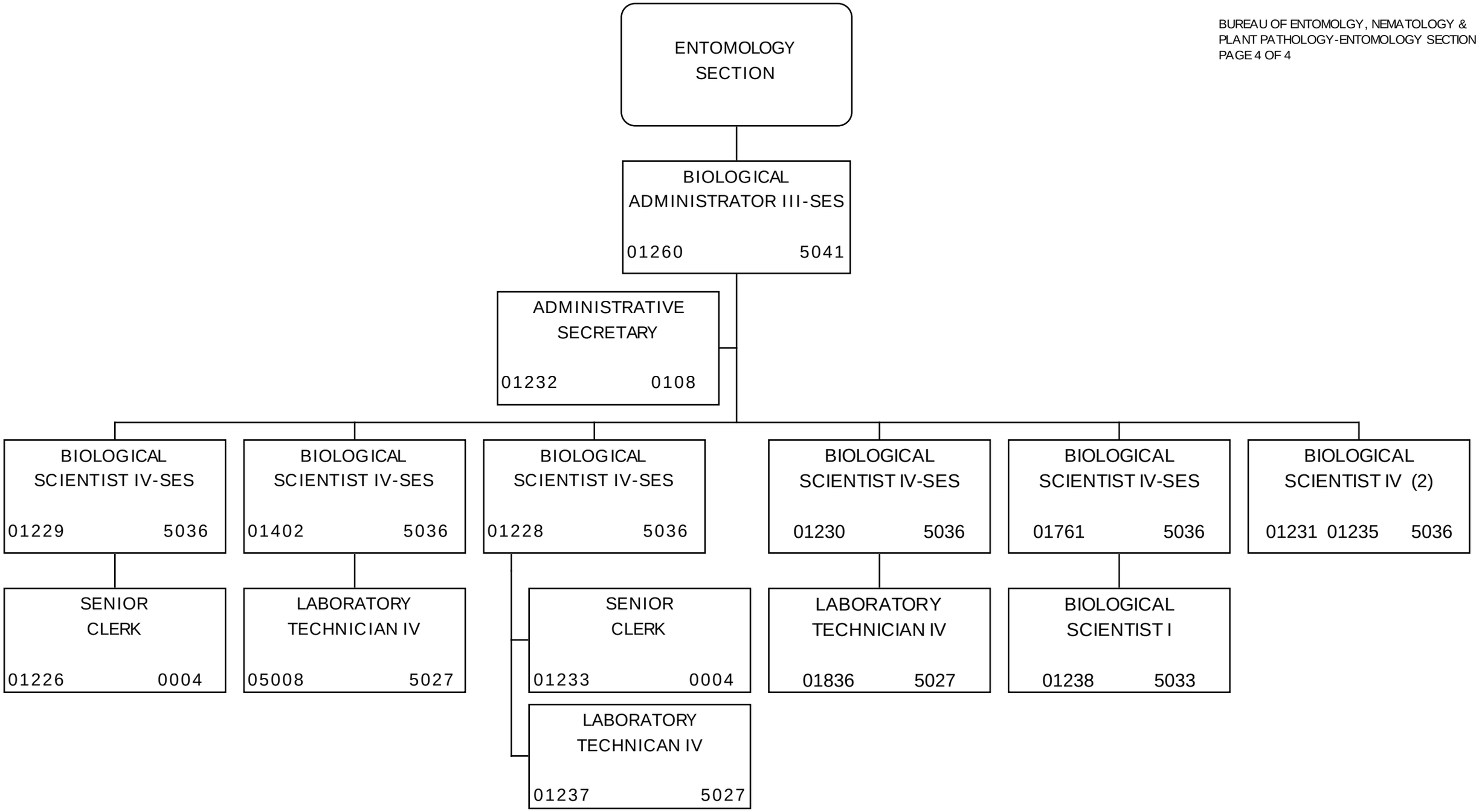
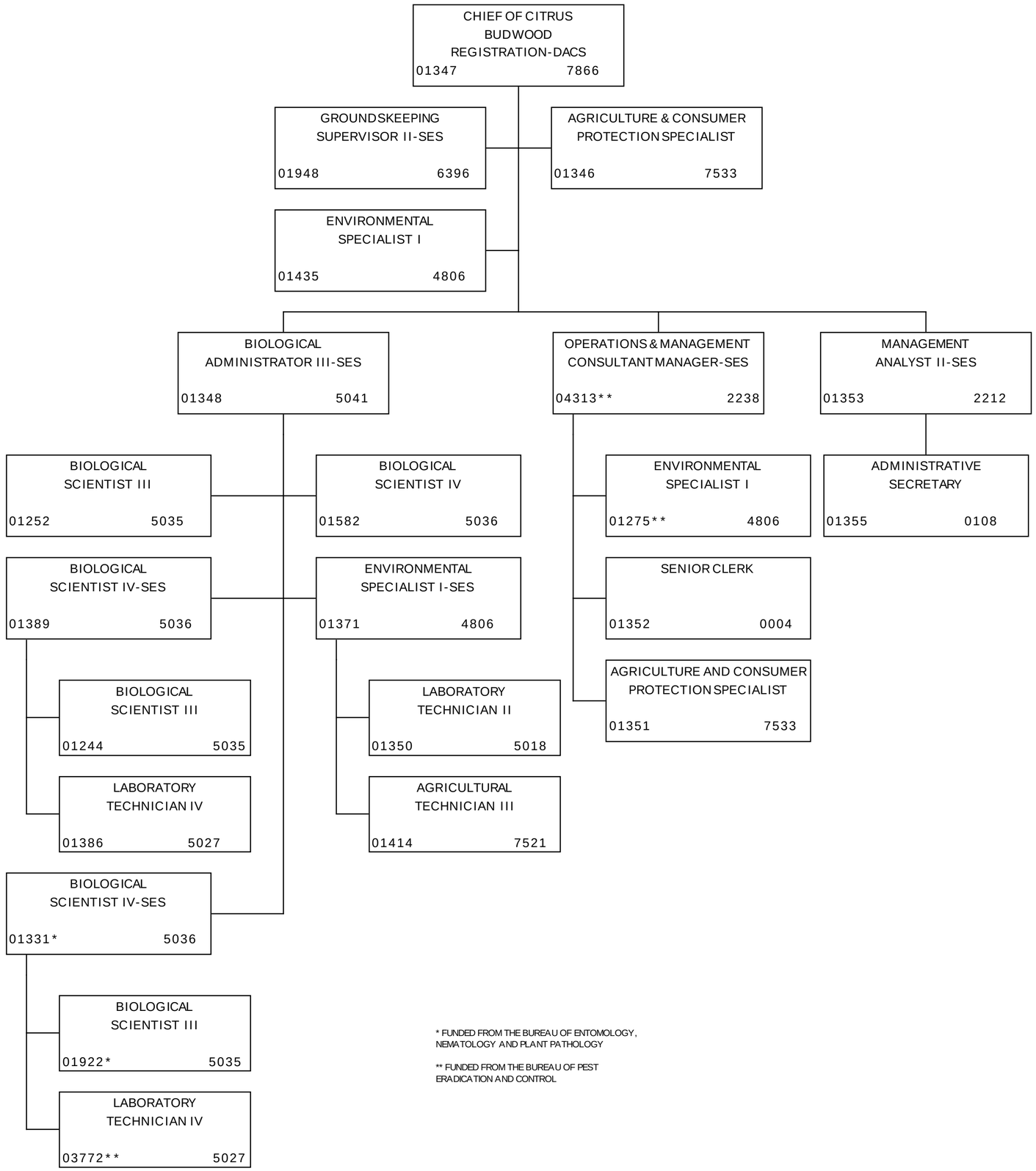
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 12/5/2014

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



* FUNDED FROM THE BUREAU OF ENTOMOLOGY, NEMATOLOGY AND PLANT PATHOLOGY

** FUNDED FROM THE BUREAU OF PEST ERADICATION AND CONTROL

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 10/13/2014

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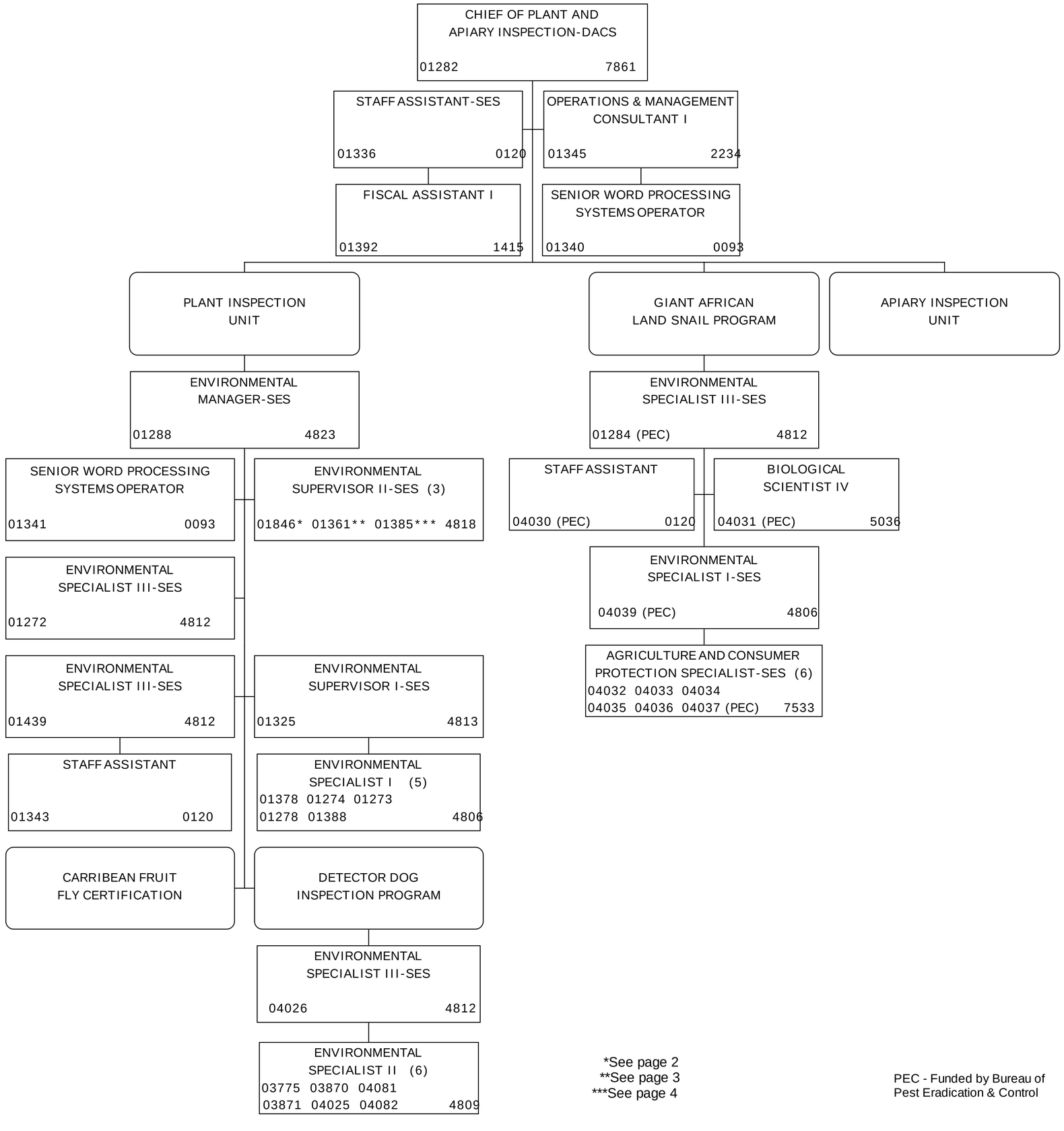
DIVISION OF PLANT INDUSTRY



*See page 2
**See page 3
***See page 4

PEC - Funded by Bureau of Pest Eradication & Control

JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 12/5/2014

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AND CONSUMER SERVICES
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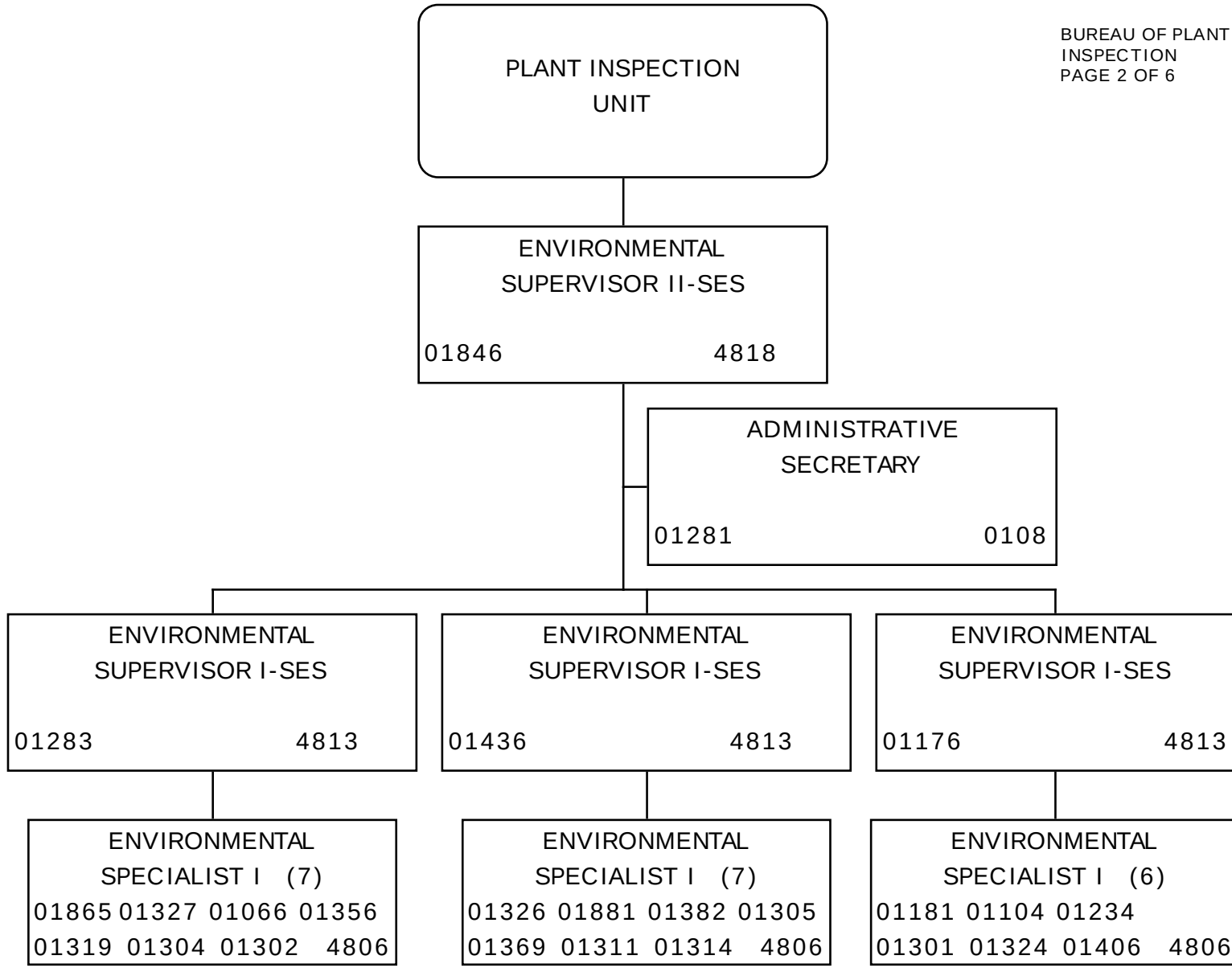
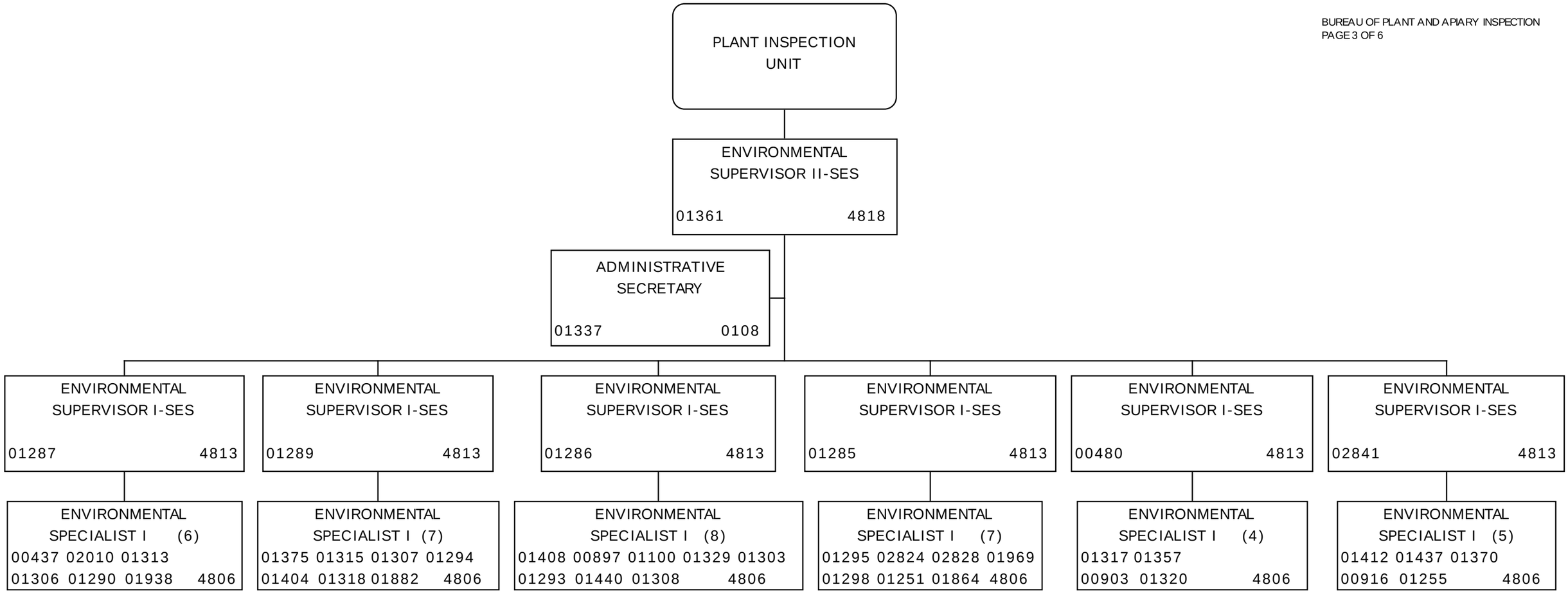


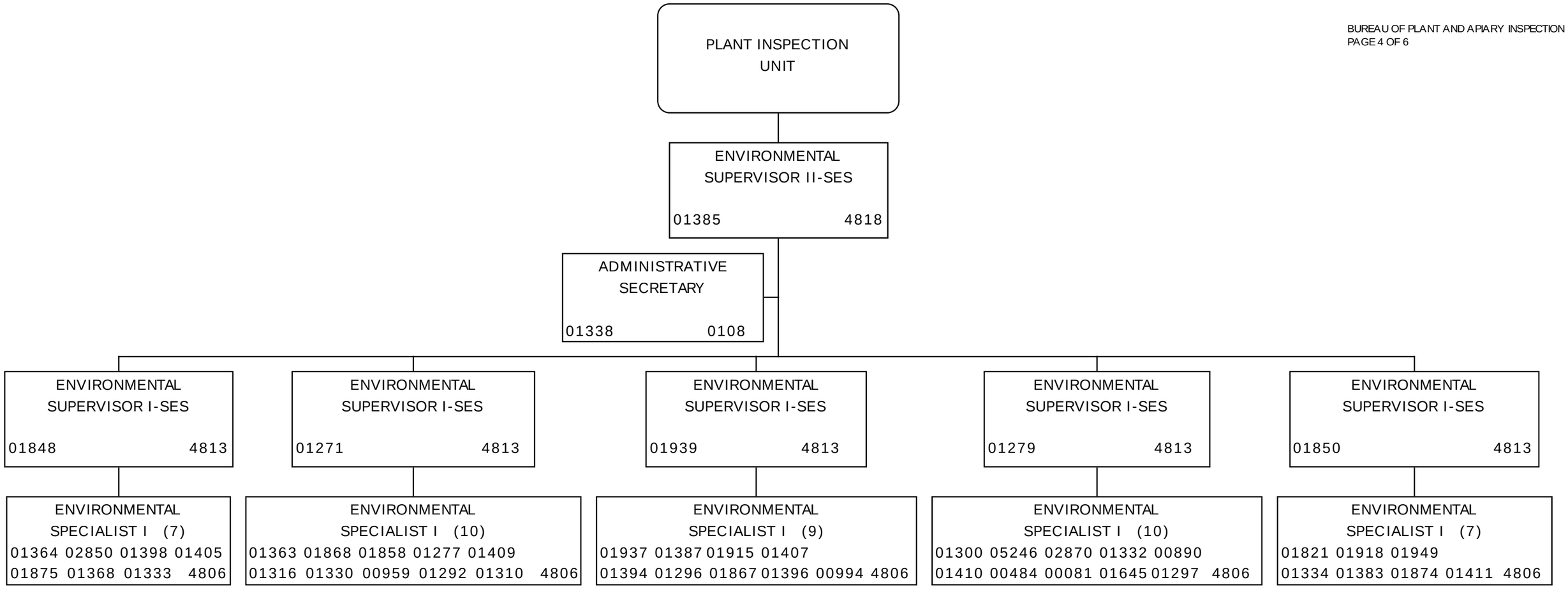
JOEY B. HICKS,
CHIEF OF
PERSONNEL
MANAGEMENT
APPROVED DATE:
6/8/2012

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



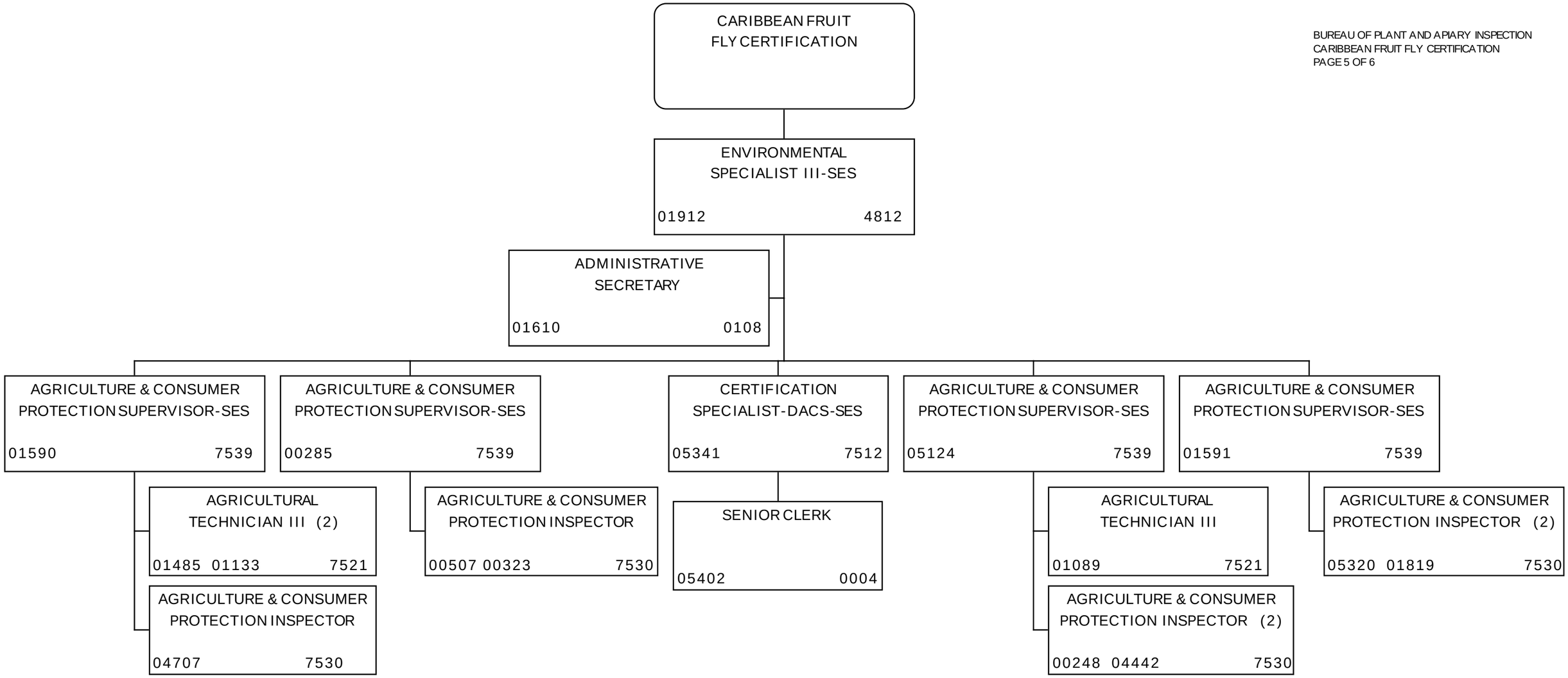
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 5/14/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



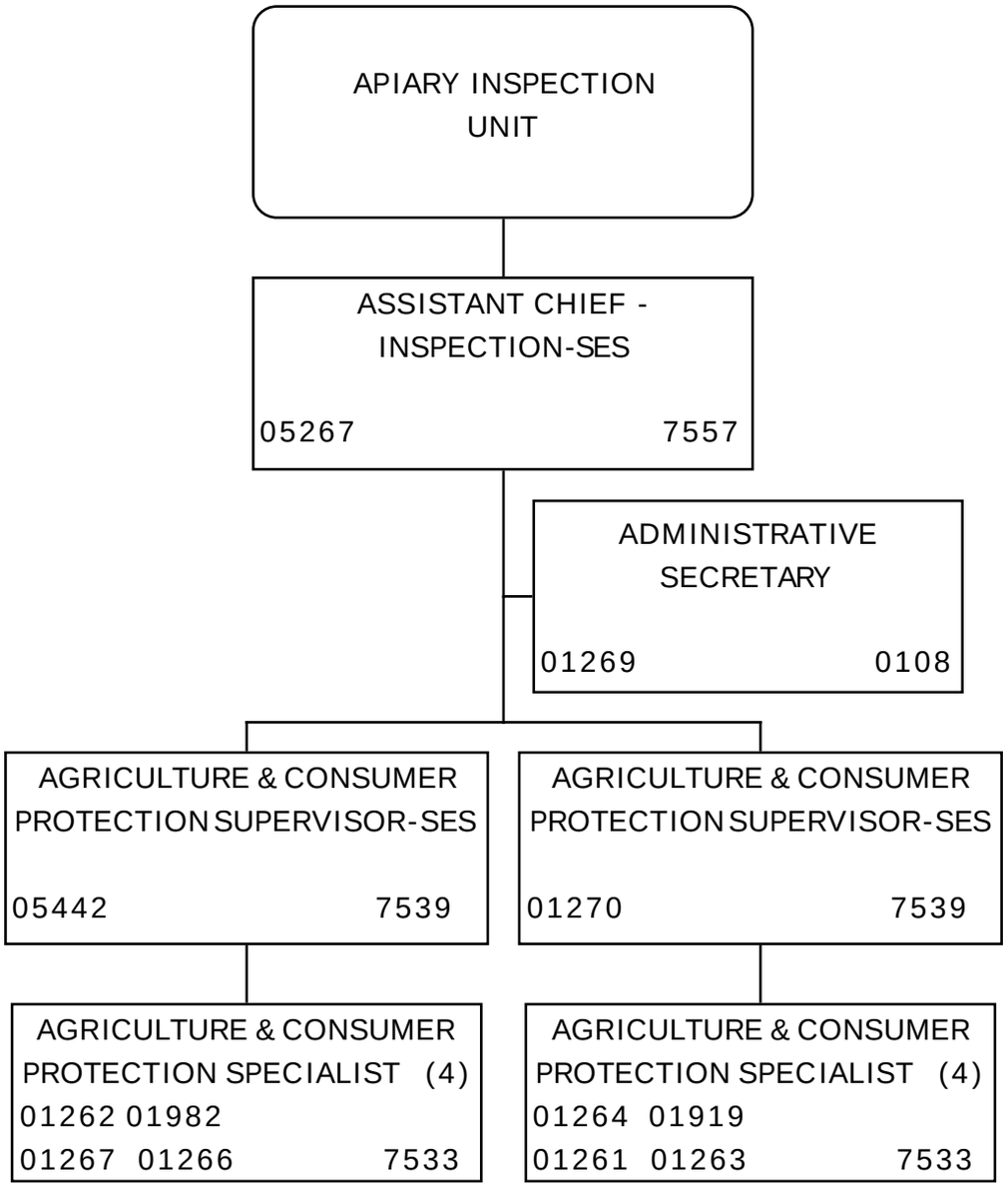
JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 8/30/2013

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2011

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/1/2011

DEPARTMENT OF AGRICULTURE
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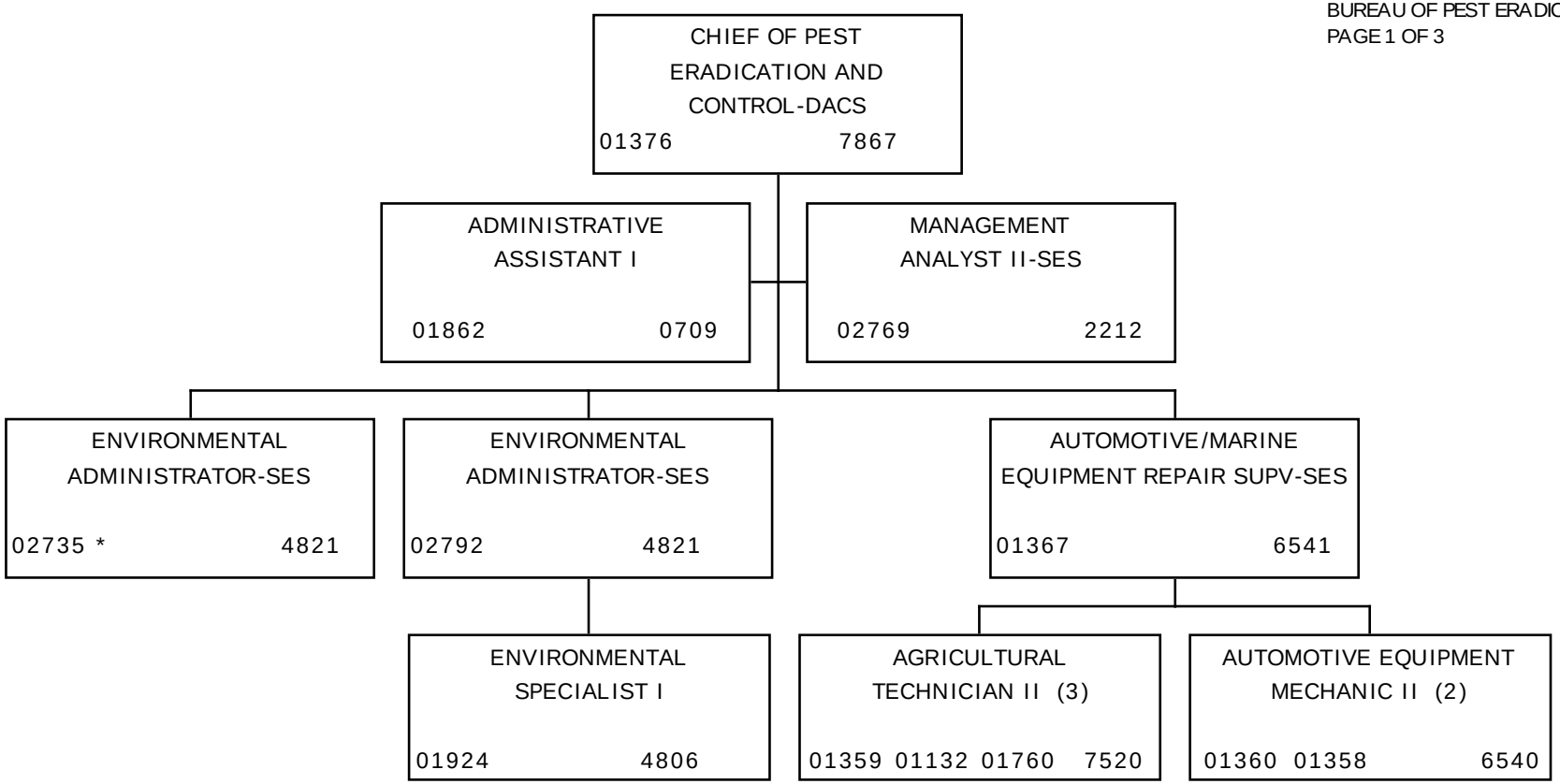
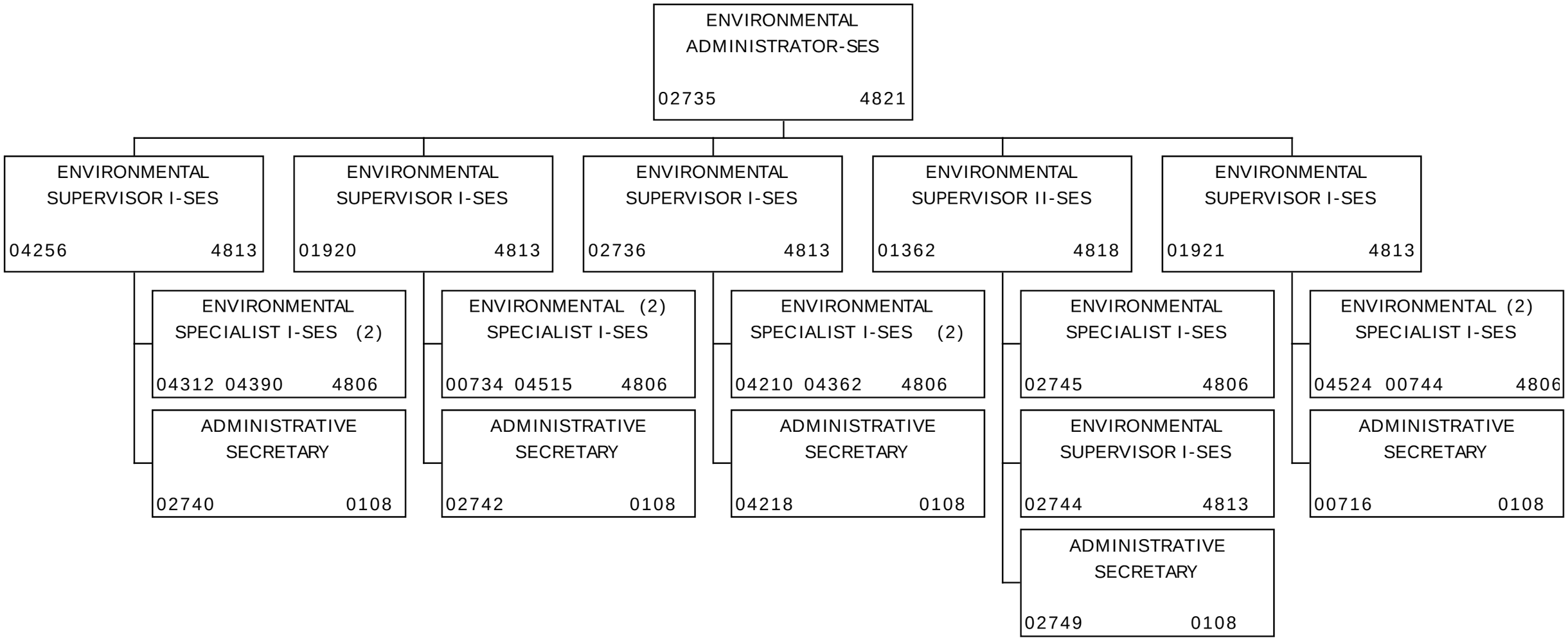
DIVISION OF PLANT INDUSTRY



* See page 2

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/28/2011

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 10/28/2011

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF PLANT INDUSTRY

ENVIRONMENTAL
MANAGER-SES

01288 4823

ENVIRONMENTAL
SPECIALIST III-SES

04328 4812

ENVIRONMENTAL
SUPERVISOR I-SES

04458 4813

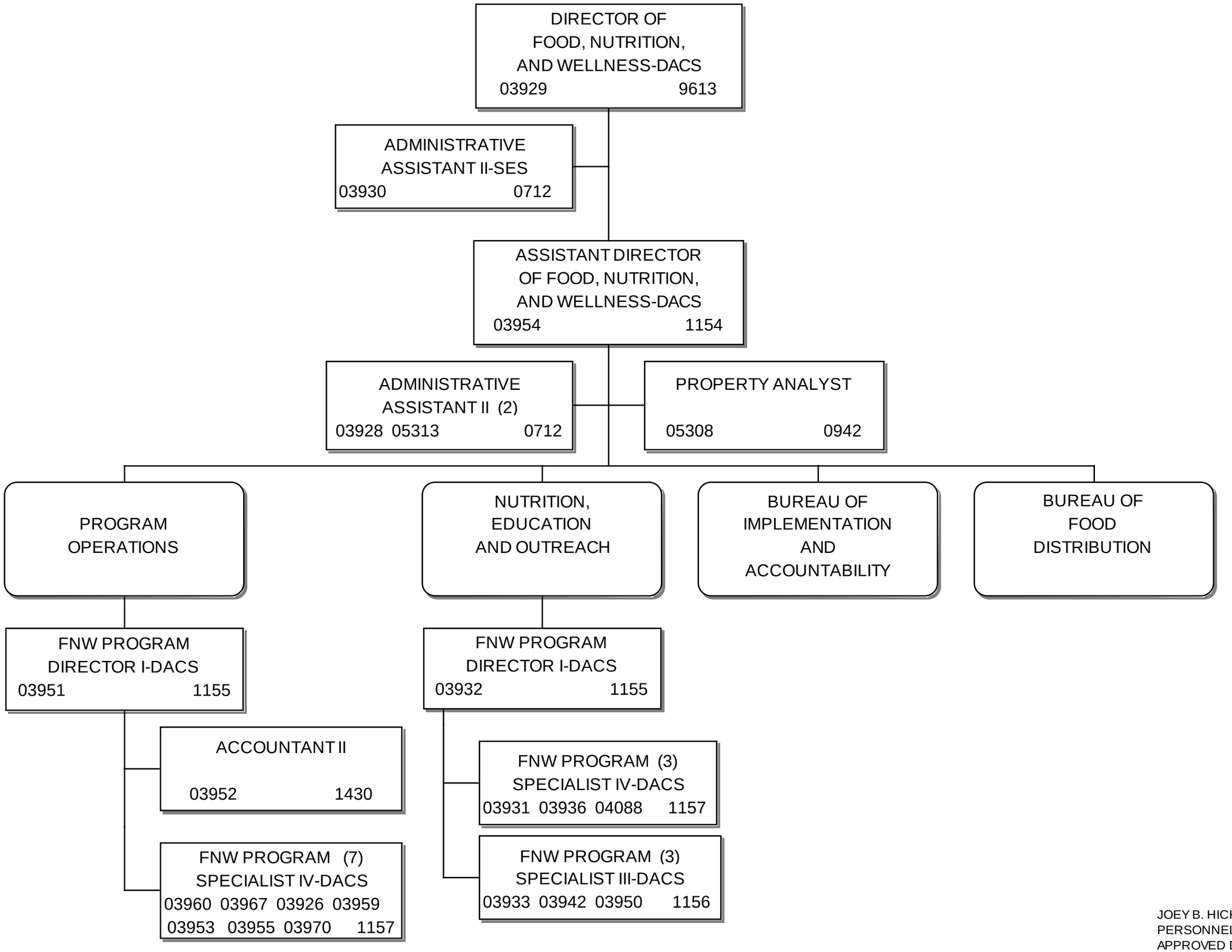
ENVIRONMENTAL
SPECIALIST II (6)

04439 04350 04444 04464
04342 00260 4809

JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 11/10/2010

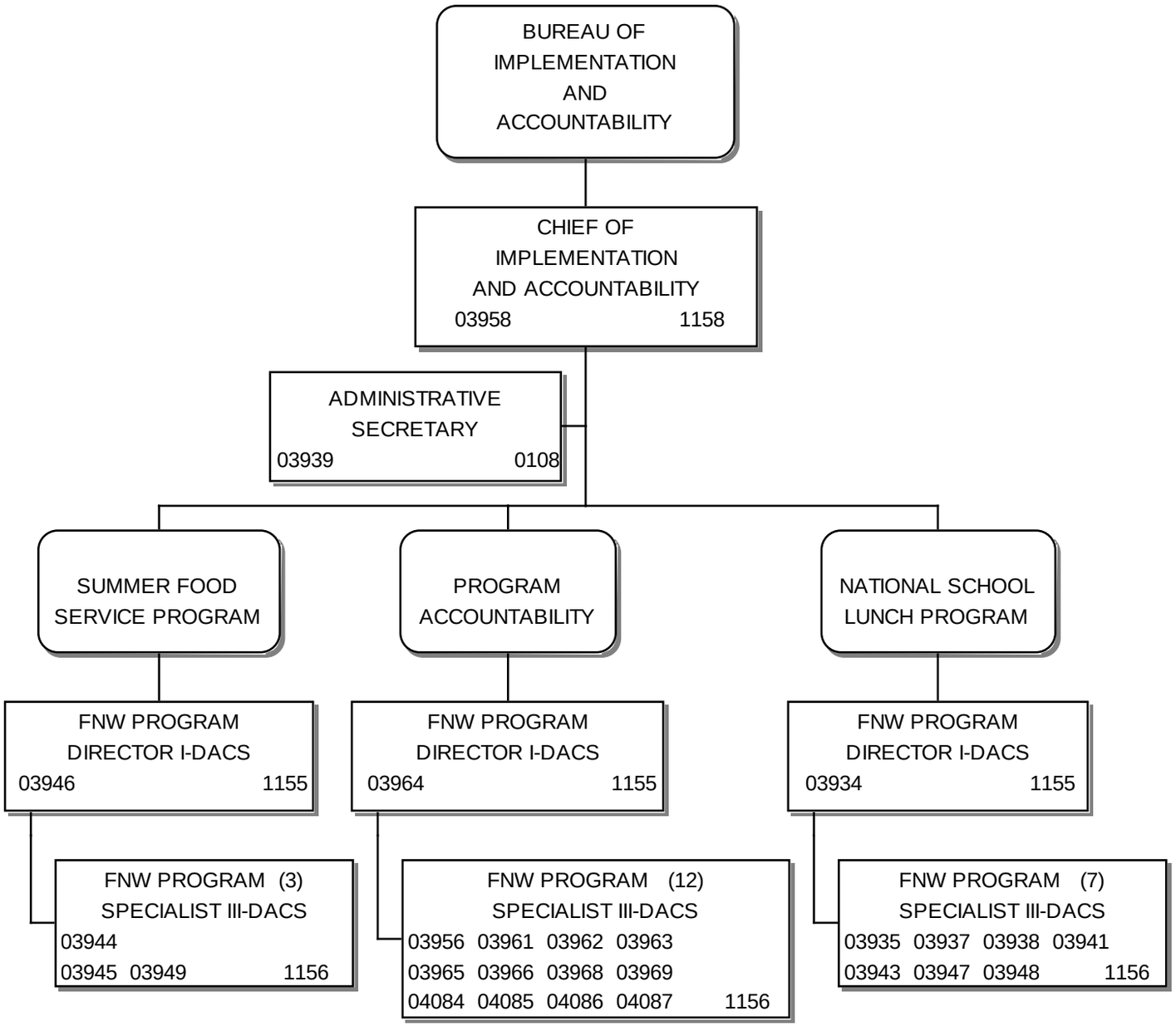
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES DIVISION OF FOOD, NUTRITION AND WELLNESS

DIVISION FTE: 83



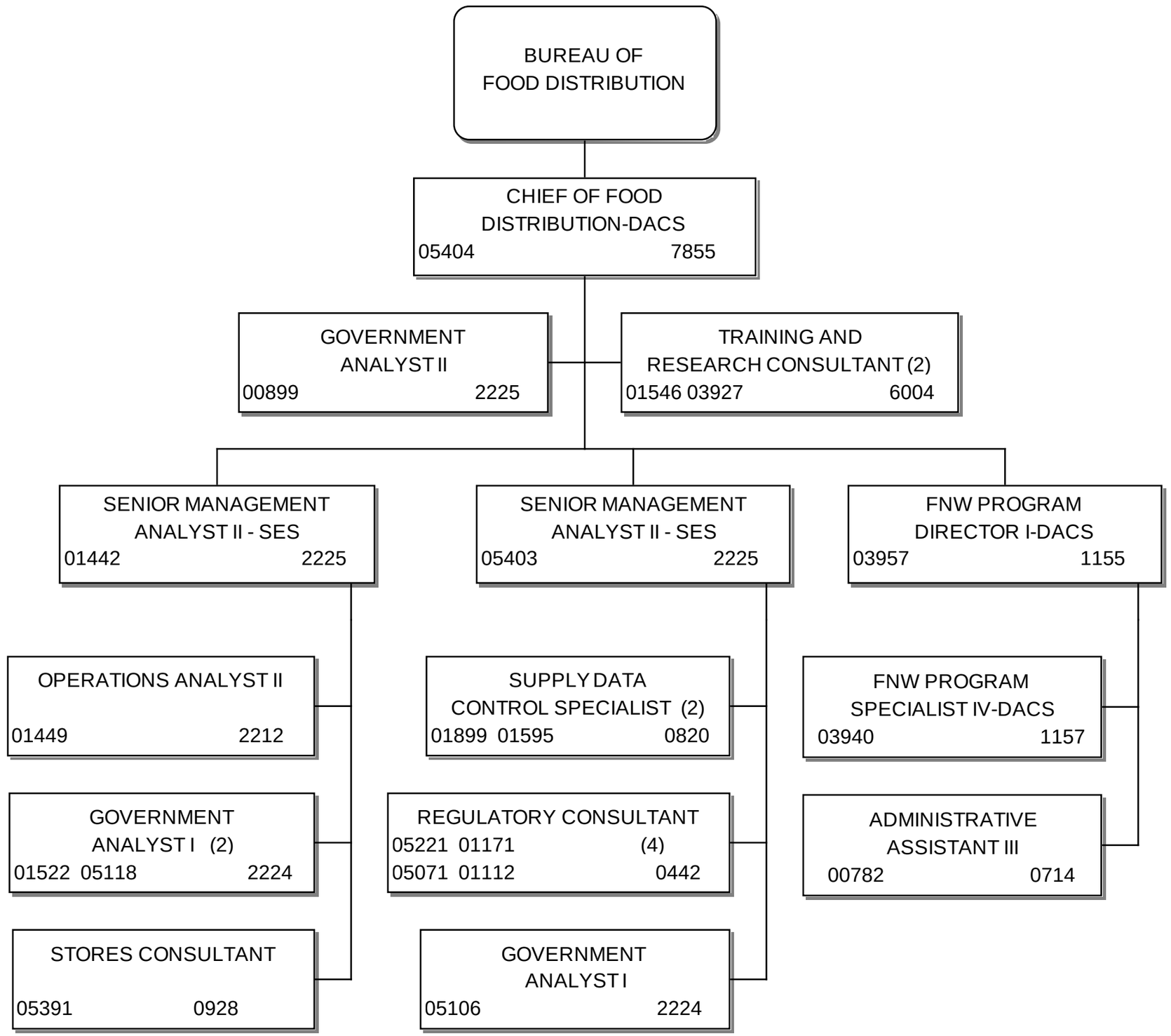
JOEY B. HICKS, CHIEF OF PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF
FOOD, NUTRITION AND WELLNESS



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 2/13/2015

DEPARTMENT OF AGRICULTURE
AND CONSUMER SERVICES
DIVISION OF
FOOD, NUTRITION AND WELLNESS



JOEY B. HICKS, CHIEF OF
PERSONNEL MANAGEMENT
APPROVED DATE: 7/3/2015

AGRICULTURE AND CONSUMER SERVICES, DEPARTMENT OF, AND

SECTION I: BUDGET	FISCAL YEAR 2014-15 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	1,492,693,011	43,985,060
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	3,035,469	5,280,062
FINAL BUDGET FOR AGENCY	1,495,728,480	49,265,122

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				5,876,500
Provide Assists To Consumers (call Center) * Number of assists provided to consumers by the call center	454,012	3.44	1,559,666	
Conduct Petrol Field, Liquefied Petrol Gas Facilities, And Amusement Ride Safety Inspections Test And Analyze Petrol Production * Number of regulated devices, entities, and products that are inspected or tested for compliance	527,370	22.56	11,896,688	
Register, License, Or Permit Department Regulated Entities * Number of regulated entities registered by the Division of Consumer Services	133,218	27.01	3,598,726	
State Forest Resource Management *	1,069,084	18.63	19,914,433	
Provide Technical Assists To Non-industrial Forest Landowners * Number of hours spent providing forest-related technical assists to non-industrial private landowners	55,821	54.62	3,049,034	
Visitor Service / Recreation * The number of State Forest visitors	2,035,173	1.90	3,869,417	
Capital Improvements * Number of hours spent on capital improvement projects	174,423	65.58	11,439,297	
Provide Land Management Assistance To Other Agencies * Number of hours spent providing forest-related technical assists to public land management agencies	21,243	63.81	1,355,547	
Supervise Workcamp Inmates * Number of inmate hours worked on Florida Forest Service Programs	165,319	5.89	974,184	
Protect Acres Of Forest Land From Wildfires *	26,329,082	2.34	61,613,880	
Licensing * NA	150,885	92.43	13,946,592	
Compliance Section * Number of Administrative Actions	26,450	42.32	1,119,454	
Regional Offices * Number of Investigations Performed	4,910	1,816.77	8,920,325	
Inspect Pesticide Applicators And Dealers * Number of pesticide inspections conducted	3,776	538.88	2,034,816	
License Pesticide Applicators And Dealers * Number of pesticide applicators and dealers licensed	12,630	89.10	1,125,300	
Evaluate And Manage Pesticide Products * Number of pesticide products registered	291	1,878.41	546,617	
Register Pesticide Products * Number of pesticide products registered	15,054	58.04	873,700	
Analyze Pesticide Products * Number of pesticide sample determinations performed	170,432	7.34	1,250,636	
Inspect Pest Control Businesses And Applicators * Number of pest control businesses and applicators licensed	4,102	553.70	2,271,263	
License Pest Control Businesses And Applicators * Number of pest control businesses and applicators licensed	55,303	16.70	923,391	
Regulate Mosquito Control Programs * Number of people served by mosquito control activities	57	50,885.33	2,900,464	
Regulate Fertilizer Companies * Number of fertilizer inspections conducted	3,724	283.78	1,056,797	
Analyze Fertilizer Products * Number of fertilizer sample determinations	192,304	6.76	1,299,803	
Analyze Seed Companies * Number of official seed sample determinations performed	44,232	9.23	408,234	
Regulate Seed Companies * Number of seed inspections conducted	1,702	251.01	427,222	
License Feed Companies * Number of feed companies licensed	999	486.91	486,426	
Analyze Feed Products * Number of official feed samples collected by feed manufacturers and analyzed by certified labs for regulatory purposes	1,477	164.04	242,285	
Conduct Food Establishment Inspections * Number of inspections of food establishments and water vending machines	50,334	263.17	13,246,413	
Perform Analyses Of Food Samples * Number of food analyses conducted	6,762	519.63	3,513,753	
Perform Analyses For Chemical Residues And Pesticide Data * Number of chemical residue analyses conducted	752,089	5.39	4,050,581	
Perform Grade Evaluations On Poultry And Eggs * Tons of poultry and shell eggs graded	201,783	7.64	1,541,202	
Energy Efficiency And Renewable Energy Grants And Incentives * NUMBER OF GRANTS AND FINANCIAL INCENTIVES PROCESSED	512	1,494.23	765,048	4,043,594
Fuel Fleet Vehicle Rebates * Number of Natural Gas Fuel Fleet Vehicle Rebates Processed	459	13,557.20	6,222,756	
Energy And Climate Program Coordination * NUMBER OF ENERGY AND CLIMATE PROGRAM CONTACTS	10,065	73.59	740,720	
Inspect Shellfish Processing Plants * Number of shellfish processing plants inspections and HACCP (Hazard Analysis Critical Control Point) records reviews	854	552.46	471,801	768,060
Test Water Quality * Number of acres tested	1,448,285	0.91	1,311,811	
Administer Aquaculture Certification Program * Number of certifications issued to first-time applicants or renewed	1,079	551.25	594,800	
Administer Shellfish Lease Program * Number of Aquaculture Leases	635	112.68	71,554	
Conduct Oyster Planting Activities * Number of bushels of processed shell and live oysters deposited to restore habitat on public oyster reefs	199,867	5.60	1,118,560	
Conduct Regulatory Investigations * Number of complaints investigated upon referral from the Division of Consumer Protection	3,062	353.67	1,082,924	
Increase In Number Of New Sites Providing Free Meals In The Summer Food Service Program * Increase in the number of sites serving meals and the number of meals served to children in the Summer Food Service Program	369	43,687.50	16,120,689	
Conduct Law Enforcement Investigations * Number of law enforcement investigations initiated	1,179	2,503.28	2,951,368	
Agriculture State Law Enforcement - Commodity Interdiction * Number of vehicles inspected at agricultural interdiction stations	9,942,925	1.42	14,108,608	
Capture Bills Of Lading * Number of Bills of Lading transmitted to the Department of Revenue from Agricultural Interdiction Stations	66,803	35.89	2,397,797	
Develop And Implement Best Management Practices (bmp's) For Agricultural Industry * Number of acres in the Northern Everglades and Estuaries Protection Program area enrolled annually, through Notices of Intent, in Agricultural Water Policy Best Management Practices programs	279,619	54.84	15,333,054	27,500,000
Assist Implementation Of 1999 Watershed Restoration Act * Number of acres outside the Northern Everglades and Estuaries Protection Program area enrolled annually, through Notices of Intent, in Agricultural Water Policy Best Management Practices programs	380,836	30.99	11,802,803	
Develop Water Policy * Number of water policy assists provided to agricultural interests	698	433.43	302,537	
Assist Mobile Irrigation Laboratory Conservation Programs * Number of gallons of water potentially conserved annually by agricultural operations pursuant to site-specific recommendations provided by participating Mobile Irrigation Labs	3,169,000,000	0.00	201,015	
Assist Soil And Water Conservation Districts * Number of soil and water conservation districts assisted	63	3,190.70	201,014	
Inspect Dairy Establishments And Collect Samples * Number of dairy establishment inspections and samples collected.	9,589	100.77	966,303	
Perform Sample Analyses * Number of analyses conducted on Florida Milk Regulatory Program samples	41,340	10.90	450,577	
Inspect Dairy Tankers And Evaluate Bulk Milk Sample Collectors * Number of dairy tankers inspected and bulk milk sample collectors evaluated	1,360	40.34	54,860	
Conduct Florida Agriculture Promotion Campaign (fapc) And Related Promotional Activities * Number of buyers reached with agricultural promotion campaign messages	79,050,000	0.19	15,408,666	
Provide Education & Communications * Number of media items produced for promotional and educational purposes	1,296	893.11	1,157,477	
Conduct State Farmers Market Program * Number of leased square feet at state farmers' markets	1,633,338	2.35	3,845,272	1,745,062
Conduct Agriculture/Seafood/ Aquaculture Assists * Number of marketing assists provided to producers and businesses	530,760	12.97	6,884,613	
Issue, Inspect And Review Licenses And Bond Program * Number of agricultural dealer licenses issued	2,338	532.70	1,245,442	
Conduct Citrus Crop/Maturity Estimates For The Citrus Industry * Number of agricultural production observations conducted	1,115,726	2.07	2,311,328	
Conduct Citrus Packing House And Processing Inspections * Number of tons of citrus inspected	4,973,351	0.68	3,387,318	
Conduct Shipping And Receiving Point Vegetable Inspections And Regulate Imports In Applicable Areas Upon Request * Number of tons of vegetables inspected	775,621	3.40	2,640,450	
Conduct Terminal Market Inspections Upon Request Of Shippers/Receivers * Number of tons of fruits and vegetables inspected	51,727	23.84	1,233,207	
Inspect Plants For Plant Pests, Disease Or Grade And Service Exotic Fruit Fly Traps * Number of plant, fruit fly trap, and honeybee inspections performed	1,017,846	27.83	28,330,466	131,750
Identify Plant Pests * Number of plant, soil, insect and other organism samples processed for identification or diagnosis	535,450	9.68	5,183,575	310,000
Certify Citrus Fly-free * Number of cartons of citrus certified as fly-free for export	2,939,261	0.59	1,730,127	
Develop Control Methods And Rear Biocontrol Agents * N/A	16,868,558	0.16	2,719,027	713,000
Release Sterile Fruit Flies * Number of sterile med flies released	4,311,094,633	0.00	1,047	
Inspect Citrus Trees For Crop Forecast And Pest Detection * Number of commercial citrus acres surveyed for citrus diseases	68,950	1.43	98,582	
Inspect Apiaries * Number of honey bee inspections performed	441,801	2.14	946,215	15,500
Register Citrus Budwood * N/A	44,106	21.31	940,106	2,000,000
Certify Nurseries As Imported Fire Ant Free * N/A	4,220	29.68	125,252	23,250
Prevent, Control And Eradicate Animal Diseases * Number of animals tests and/or vaccinations performed on animals	166,900	19.47	3,249,528	
Conduct Animal-related Diagnostic Laboratory Procedures * Number of animal-related diagnostic laboratory procedures performed	81,344	44.26	3,600,306	
Inspect Livestock On Farms/Ranches For Sanitary/Humane Conditions * Number of animal site inspections performed	15,336	126.11	1,933,978	
Identify The Origin And Health Status Of Imported Animals * Number of animals covered by health certificates	28,455,764	0.02	711,059	
TOTAL			346,409,786	43,126,716

SECTION III: RECONCILIATION TO BUDGET		
PASS THROUGHS		
TRANSFER - STATE AGENCIES		
AID TO LOCAL GOVERNMENTS	1,051,958,363	5,650,000
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS		
OTHER	7,126,275	
REVERSIONS	90,234,231	488,406
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)	1,495,728,655	49,265,122

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

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: **Florida Department of Agriculture and Consumer Services** **Contact:** **Derek Buchanan, Director**

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 2015 contain revenue or expenditure estimates related to your agency?

Yes [X] No [ ]

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2016-2017 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 2016-2017 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Rural and Family Lands	B	$ 10,400,000	$ 25,000,000
b	Land Management	B	$ 15,224,748	$ 10,220,065
c	Lake Okeechobee Restoration	B	$ 9,100,000	$ 15,000,000
d	Springs Protection	B	$ 3,333,000	Included in item "f"
e	Dispersed Water Management	B	$ 1,500,000	$ -
f	Agricultural Nonpoint Source Best Management Practices	B	$ 9,100,000	$ 8,400,000
g	Forestry Wildfire Prevention Equipment	B	$ 3,000,000	$ 6,542,000
h	Florida Agricultural Promotional Campaign	B	$ 4,500,000	$ 4,500,000
I	Water Conservation/Supply	B	$ 1,300,000	$ 1,500,000
j	Farm Share/Food Banks	B	$ 2,600,000	$ 2,000,000
k	Aquaculture Program/ARC Council List	B	$ 600,000	$ 632,970
l	Agricultural Promotion and Education Facilities	B	$ 4,300,000	$ 3,100,000
m	Agricultural Emergency Eradication Trust Fund	R	$ 11,480,000	$ 11,480,000
n	Citrus Greening	B	$ 6,666,666	$ 11,000,000
o	Agriculture and Natural Resources Critical Repairs (Life & Safety)	B	$ 2,036,450	$ 2,628,450

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.

• Rural and Family Lands request seeks additional authority to support agricultural land protection efforts.
• Land Management request is based on identified needs of the Florida Forest Service.
• Lake Okeechobee Restoration projects are critical to addressing the state's on-going water quantity and quality issues.
• Dispersed water management is a legislative issue and not a department request.
• Agricultural Nonpoint Source Best Management Practices funding supports numerous water quality and supply programs statewide, which encompass some of the most important issues facing Floridians. It includes request for springs protection and northern everglades.
• Florida Forest Service Wildfire Suppression Equipment exceeds the Long Range Financial Outlook due to the immediate need to replace critical equipment in addition to the regular replacement schedule.
• Water Supply request has remained constant for last two years at a level necessary to continue programs
• The Farm Share and Food Banks requests were based on the funding needs conveyed to the department by the entities.
• Aquaculture ARC Council funding request is based on a prioritized listing of research projects in accordance with section 597.005(3), Florida Statutes.
• Agricultural Promotion and Education Facilities funding is requested by separate entities. The $3.1M request is for the State Fair and the Ag Museum.
• Citrus Greening is currently the greatest agricultural threat to one of the state's most prolific industries. Resources are necessary to combat this threat in order to mitigate damage and preserve Florida's citrus industry.
• Agriculture and Natural Resources Critical Repairs varies from the Long Range Financial Outlook for conversion of irradiator facility into office space due to condition of current portable office space.

* R/B = Revenue or Budget Driver

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF LICENSING
42010400

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42010400 Licensing
Fund: 2163 Licensing Trust Fund

Specific Authority: Chapter 493
Purpose of Fees Collected: To fund the cost of administering the licensing and regulatory requirements of Chapter 493 (Security Officers, Private Investigators and Recovery Agents).

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Agency New	248,078	245,000	245,000
Agency Renewal	536,069	296,750	436,900
"D" Renewal	1,861,754	1,366,380	1,039,905
"D" New	1,411,213	1,400,490	1,400,490
"G" / "K" Renewal	759,935	336,328	299,844
"G" / "K" New	765,030	799,260	799,260
Manager New	26,663	8,775	8,775
Manager Renewal	59,348	41,025	39,000
Recovery Agent New E/EE	20,537	20,505	20,505
Recovery Agent Renewal E/EE	30,465	19,275	17,295
P.I. New C/CC	72,618	73,350	73,350
P.I. Renewal C/CC	284,500	197,925	187,935
Application Fees 493	171,147	166,961	166,961
Class C Exam	56,525	60,133	60,133
Penalties Late Fees	296,269	270,000	270,000
Private Investigative Agency Misc.	105,546	106,000	106,000
Other Misc Fees - Copies	2,638	4,000	4,000
Fingerprint Fees	1,417,995	1,475,000	1,475,000
Fines	117,728	100,000	100,000
Refunds-Non-State Govt, Vendors, Employees	4,088	3,505	3,505
Tenant Broker Commission	16,198	20,000	20,000
Property Transfers In, Sale Surplus Proper	7,444	10,235	-
Deferred Revenue	-	687,036	191,182
Total Fee Collection to Line (A) - Section III	8,271,787	7,707,933	6,965,040

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	4,488,997	4,400,000	4,308,000
Other Personal Services	10,351	10,000	10,000
Expenses	1,198,162	1,100,000	875,000
Operating Capital Outlay	36,670	23,507	23,507
Motor Vehicle	146,128	71,856	71,856
Contracted Services/Other	1,242,274	1,050,000	850,000
Insurance	23,117	20,695	20,695
Tenant Broker	12,595	5,956	5,956
State Personnel Assessment	27,310	24,311	24,311
Allocated Costs Charged to Trust Fund	1,045,992	1,000,000	775,000
Total Full Costs to Line (B) - Section III	8,231,597	7,706,325	6,964,325

Basis Used: Direct and indirect costs primarily based on new and renewal license application volume with full time personnel assigned to Chapter 493 responsibilities also considered.

SECTION III - SUMMARY

TOTAL SECTION I	(A)	8,271,787	7,707,933	6,965,040
TOTAL SECTION II	(B)	8,231,597	7,706,325	6,964,325
TOTAL - Surplus/Deficit	(C)	40,190	1,608	715

EXPLANATION of LINE C:

FY 14-15 net surplus of $40,190 represents less than 1% of total revenue or costs; therefore a small 1% decrease in licens revenue or a corresponding 1% increase in costs could result in a deficit.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture & Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Licensing – Chapter 493

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Division did not complete any specific efficiency initiatives in Fiscal Year (FY) 2013-14; however an internal productivity study addressing equipment usage versus full and part time employees was begun in FY 14/15, the results of which are forthcoming shortly.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The Division plans on issuing field administrative complaint for minor violations to allow investigators to issue complaints in the field, negating the need for an attorney to handle such activities. As the existing complaint procedure is to hand deliver these complaints via contracted service providers, potentially significant cost savings may be realized.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, the Division promotes public protection through compliance and enforcement of laws, regulations, and professional standards for persons wishing to be employed in the private investigative, private security or private recovery industries. As of June 30, 20154, 179,137 individuals and businesses were licensed by the Division, under the requirements of Chapter 493, Florida Statues.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   Yes, projections are prepared using generally accepted governmental accounting procedures, as are actual and estimated revenues and expenditures.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

Yes, the Division analyzes the fees being assessed for licenses on a regular basis. The fees were last increased in 2008.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   Yes, the fee schedule is based on the type of license. For example, more time and resources are required to process an agency application and regulate the licensee than are required for an individual's application and license. Therefore, the license fee for a Security Agency, Private Investigative Agency, or Recovery Agency is more than the license fee for an individual licensed as a private security officer, private investigator, or private recovery agent.

   Furthermore, fees cover costs to regulate an entity after a license is issued, which includes activities such as investigating public complaints concerning the service provided by a licensee; performing compliance inspections; and frequent monitoring of arrest records, domestic violence records, incarceration records and mental history records. Fees are also sufficient to cover costs associated with providing legislatively required pamphlets and reports to licensees and the public and to cover the dissemination of information and documents provided to employers and citizens inquiring about the status of licensees.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs

would require so high an assessment as to damage its competitive position with similar entities in other states.

Not applicable.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   Not applicable.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Licensing

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? $0

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Chapter 493 Application Fee	LICENSING APPLICATION FEE-493	493.6105	$60	1990	YES	$50	Division of Licensing Trust Fund
Chapter 493 Fingerprint Fee	LICENSING FINGERPRINT FEE	493.6105	N/A	N/A	YES	$42	Division of Licensing Trust Fund
Private Investigative Revised/Replacement	LICENSING PIA MISC	493.6202	$30	1990	YES	$10	Division of Licensing Trust Fund
Private Investigative Agency License	LICENSING AGENCY NEW	493.6202	$450	1990	YES	$450	Division of Licensing Trust Fund
Security Agency License	LICENSING AGENCY NEW	493.6302	$450	1990	YES	$450	Division of Licensing Trust Fund
Recovery Agency License	LICENSING AGENCY NEW	493.6402	$450	1990	YES	$450	Division of Licensing Trust Fund
Private Investigative Agency Branch License	LICENSING AGENCY NEW	493.6202	$125	1990	YES	$125	Division of Licensing Trust Fund
Security Agency Branch License	LICENSING AGENCY NEW	493.6302	$125	1990	YES	$125	Division of Licensing Trust Fund
Recovery Agency Branch License	LICENSING AGENCY NEW	493.6402	$125	1990	YES	$125	Division of Licensing Trust Fund
Private Investigative Agency License Renewal	LICENSING AGENCY RENEWAL	493.6202	$450	1990	YES	$450	Division of Licensing Trust Fund
Security Agency License Renewal	LICENSING AGENCY RENEWAL	493.6302	$450	1990	YES	$450	Division of Licensing Trust Fund
Recovery Agency License Renewal	LICENSING AGENCY RENEWAL	493.6402	$450	1990	YES	$450	Division of Licensing Trust Fund
Private Investigative Branch License Renewal	LICENSING AGENCY RENEWAL	493.6202	$125	1990	YES	$125	Division of Licensing Trust Fund
Security Agency Branch License Renewal	LICENSING AGENCY RENEWAL	493.6302	$125	1990	YES	$125	Division of Licensing Trust Fund
Recovery Agency Branch License Renewal	LICENSING AGENCY RENEWAL	493.6402	$125	1990	YES	$125	Division of Licensing Trust Fund
Security Officer School/Security Officer Instructor Renewal	LICENSING D RENEWAL FEE	493.6302	$60	1990	YES	$60	Division of Licensing Trust Fund
Security Officer License Renewal	LICENSING D RENEWAL FEE	493.6302	$45	1990	YES	$45	Division of Licensing Trust Fund
Security Officer/Rec School, Security Officer/Rec Instructor Lic	LICENSING D NEW LICENSE	493.6302	$60	1990	YES	$60	Division of Licensing Trust Fund
Security Officer License	LICENSING D NEW LICENSE	493.6302	$45	1990	YES	$45	Division of Licensing Trust Fund
Statewide Firearm License Renewal	LICENSING G RENEWAL	493.6107	$150	1990	YES	$112	Division of Licensing Trust Fund
Firearms Instructor License Renewal	LICENSING K RENEWAL	493.6107	$100	1990	YES	$100	Division of Licensing Trust Fund
Statewide Firearm License	LICENSING G NEW LICENSE	493.6107	$150	1990	YES	$112	Division of Licensing Trust Fund
Firearms Instructor License	LICENSING K NEW LICENSE	493.6107	$100	1990	YES	$100	Division of Licensing Trust Fund
Manager-Private Inv, Security and Rec Agency License	LICENSING MANAGER NEW	493.6107	$75	1990	YES	$75	Division of Licensing Trust Fund
Manager-Private Inv, Security and Rec Agency License Ren	LICENSING MANAGER RENEWAL	493.6107	$75	1990	YES	$75	Division of Licensing Trust Fund
Recovery Agent License	LICENSING RECOVERY AGENT NEW E/EE	493.6402	$75	1990	YES	$75	Division of Licensing Trust Fund
Recovery Agent Intern License	LICENSING RECOVERY AGENT NEW E/EE	493.6402	$60	1990	YES	$60	Division of Licensing Trust Fund
Recovery Agent Renewal	LICENSING RECOVERY AGENT RENEWAL	493.6402	$75	1990	YES	$75	Division of Licensing Trust Fund
Recovery Agent Intern License Renewal	LICENSING RECOVERY AGENT RENEWAL	493.6402	$60	1990	YES	$60	Division of Licensing Trust Fund
Private Investigator License	LICENSING-PRIV.INVESTGTR.NEW C/CC	493.6202	$75	1990	YES	$75	Division of Licensing Trust Fund
Private Investigator Intern License	LICENSING-PRIV.INVESTGTR.NEW C/CC	493.6202	$60	1990	YES	$60	Division of Licensing Trust Fund
Private Investigator License Renewal	LICENSING-PRIV.INVESTGTR.RENEWAL C	493.6202	$75	1990	YES	$75	Division of Licensing Trust Fund
Private Investigator Intern License Renewal	LICENSING-PRIV.INVESTGTR.RENEWAL C	493.6202	$60	1990	YES	$60	Division of Licensing Trust Fund
Chapter 493 Late Fees	LICENSING LATE FEES	493.6113(4)	Amt of License Fee	1990	YES	Amt of License Fee	Division of Licensing Trust Fund
Private Investigator Exam Fee	CLASS C EXAM FEE	493.6203(5)	$100	2008	YES	$100	Division of Licensing Trust Fund

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF FOOD SAFETY INSPECTION AND ENFORCEMENT

42150200

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42150200 Food Safety - Bureau of Diary
Fund(s): 1000, 2321 General Revenue, General Inspection Trust Fund

Specific Authority: 502.053, F.S. - Frozen Dessert License
Purpose of Fees Collected: To offset direct and indirect costs resulting from the administration of the Dairy Regulatory Program.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15		ESTIMATED FY 2015-16		REQUEST FY 2016-17	
Receipts:	GR	GITF	GR	GITF	GR	GITF
Frozen Dessert Licenses	-	15,900	-	15,750	-	15,750
Copies of Documents	-	-	-	500	-	500
Restitution Payments	-	473	-	-	-	-
Misc. Revenue (Refunds, Other)	-	47	-	-	-	-
Total Fee Collection to Line (A) - Section III	-	16,420	-	16,250	-	16,250

SECTION II - FULL COSTS

Direct Costs:						
Salaries and Benefits	1,137,792	1,275	1,137,792		1,137,792	
Expenses	222,474	4,554	212,347		212,347	
Contracted Services	24,960	15,381	24,960	8,000	24,960	8,000
Operating Capital Outlay	552	19,930	10,500		10,500	
Data Processing		37,395		37,395		37,395
General Revenue S/C		1,208		1,208		1,208
Risk Management Insurance	21,697		21,697		21,697	
HR Costs	7,381	7	7,381		7,381	
Indirect Costs Charged to Trust Fund - DO		172,549		140,000		140,000
Administrative Overhead		108,250		106,000		106,000
Refund of State Revenue		409				
Total Full Costs to Line (B) - Section III	1,414,856	360,957	1,414,677	292,603	1,414,677	292,603

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

TOTAL SECTION I	(A)	-	16,420	-	16,250	-	16,250
TOTAL SECTION II	(B)	1,414,856	360,957	1,414,677	292,603	1,414,677	292,603
TOTAL - Surplus/Deficit	(C)	(1,414,856)	(344,537)	(1,414,677)	(276,353)	(1,414,677)	(276,353)

EXPLANATION of LINE C:

Expenditures in this document represent expenditures for the Bureau of Dairy Industry which includes the Bureau's Main Office, the Dairy Inspection Section and the Dairy Compliance Monitoring Section. The activities of the Bureau are directly related to the regulation of the Dairy Industry in Florida under the requirements of Chapter 502, Florida Statutes. The primary beneficiary of these activities are the citizens of Florida (ensuring a safe and wholesome milk, milk product and frozen dessert supply) and the Florida Dairy Industry itself for being able to move their products in interstate commerce unimpeded by other states' regulations.

Charging fees to cover the total costs in the Bureau of Dairy Industry would put the Florida Dairy Industry at a disadvantage with the other states in the Southeast Region that Florida competes with. None of these states are fee-funded. Using the information from our Service Information Form for FY 14/15 (which provides unit costs for conducting inspections, collecting samples and analysis), we did some preliminary calculations for estimated fees for a farm and a large plant. These unit costs were adjusted to include administrative overhead costs. For a farm, we would have to charge a minimum annual fee of $4,000 per farm. Economic pressures have already reduced the number of farms from 201 to 127 from FY 02-03 to FY 14-15. A fee of this amount would add additional pressures and could cause more farms to go out of business. For a large plant, we would have to charge a minimum annual fee of $55,000. A fee of this amount would put Florida plants at an economic disadvantage with other states in the Southeast Region.

Effective July 1, 2013, the funding for the Bureau of Dairy Industry was moved from GITF to GR during the 2013 Legislative Session. While self-sufficiency is not feasible, a plan to establish fees for out-of-state permit/licenses that are outlined in Chapter 502, F.S. and a per hundred weight assessment of milk processed in Florida has been developed. Implementation of this plan would reduce the Bureau's reliance on funds from General Revenue. Using the numbers of active out-of-state permits as of June 30, 2015, an estimated $195,000 in revenues could be generated.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Dairy Regulatory Program

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   In FY 13-14, the Division of Food Safety was approved funds to purchase replacement vehicles. The Bureau of Dairy Industry was allotted one of those vehicles. In the nine months the vehicle has been in operation there has been a savings of $1,100 in fuel costs.

   In FY 15-16, the Division of Food Safety was approved funds to purchase replacement vehicles. The Bureau of Dairy Industry has been allotted four of those vehicles. The vehicles have not been acquired yet.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The Bureau plans to purchase reusable shipping containers for use when submitting samples to the laboratory. The Bureau utilizes large coolers which UPS considers "not encased in cardboard". UPS charges $18.00 round trip over and above the regular shipping charge for each cooler. The initial cost of the reusable shipping containers is estimated to be approximately $5,000. The resulting savings will be approximately $12,000 per year.

   The Bureau is also re-evaluating inspector territories to reduce fuel costs and minimize time spent driving. There is not enough information available at this time to estimate savings.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. A primary mission of the Department is to safeguard the public health and to support Florida's agricultural economy by ensuring the safety and wholesomeness of food and other consumer products through inspection and testing programs; and protecting consumers from unfair and deceptive business practices and providing consumer information. The Bureau of Dairy Industry's statutory directive is to: through 502.013, F.S. - Ensure that milk, milk products and frozen desserts sold or offered for sale in Florida are produced under sanitary

conditions, are wholesome and fit for human consumption, are correctly labeled as to grade, quality and source of production; and to facilitate the shipment and acceptance of milk and milk products of high sanitary quality in interstate and intrastate commerce. The Dairy Regulatory Program accomplishes this through the inspection and sampling activities conducted on dairy establishments located in the state and products sold in the state. The regulation of milk, milk products and frozen desserts safety is a basic tenet of public health principles. As the lead state agency for food safety, the Department has a responsibility to ensure the protection of Florida's residents and guests. A comprehensive regulatory program is an appropriate function towards achieving an acceptable level of protection.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   Yes. Revenue projections Frozen Dessert licenses are developed using historical revenue data and trend analysis involving actual and estimated dairy establishment counts.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   No. Regulatory fees are used to directly support the Dairy Regulatory Program. Revenues from the current fee schedule are inadequate to fully cover all direct and indirect costs associated with the maintenance of the current level of services provided. It is important to note that in addition to its regulatory component, the Dairy Regulatory Program is a public health program which benefits Florida citizens and our guests by protecting the consuming public from injury as a result of unsafe milk, milk products and frozen desserts regardless of their origin.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees were set by the Legislature and do not take into account any differences between the businesses regulated. It is important to note that the current fee structure is for permit fees and not inspection fees.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   The Dairy Regulatory Program operates under Chapter 502, Florida Statutes, which regulates milk, milk products and frozen desserts. Our purpose under Chapter 502 is to ensure that milk, milk products and frozen desserts sold or offered for sale in Florida are produced under sanitary conditions, are wholesome and fit for human consumption, are correctly labeled as to grade, quality and source of production; and to facilitate the shipment and acceptance of milk and milk products of high sanitary quality in interstate and intrastate commerce.

   In carrying out the requirements of Chapter 502, the Dairy Regulatory Program protects the more than 90% of Florida citizens and our guests that eat or drink dairy products. It is appropriate that the Dairy Regulatory Program be supported by General Revenue to reflect the public health benefits of the program and its activities.

   Charging fees to cover the total costs for the Bureau would put the Florida Dairy Industry at a disadvantage with the other states in the Southeast Region that Florida competes with, as none of these states are fee-funded. Florida is a member of the National Conference of Interstate Milk Shipments (NCIMS). NCIMS membership is maintained by strict adherence to the requirements of the Grade A Pasteurized Milk Ordinance (PMO). The PMO sets inspection and product sampling frequencies for dairy farms and processing plants as well as standards for the analyses that are conducted on the product samples collected. Adherence to the requirements of the PMO ensures that the dairy products offered for sale to Florida residents and our guests are wholesome and fit for human consumption. It also allows for dairy products processed in Florida to be sold in interstate commerce and provides the ability for Florida

processing plants to bid on federal, state and county contracts. Using the information from our Service Information Form for FY 14/15 (which provides unit costs for conducting inspections, collecting samples and analysis of those samples) and the inspection and sampling frequencies outlined in the PMO (allowances were made based on historical averages per farm/plant for inspections and sample collections), we did some preliminary calculations for estimated fees for a farm and a large milk processing plant. These unit costs were adjusted to include administrative overhead costs. For a farm, we would have to charge a minimum annual fee of $4,000 per farm. Economic pressures have reduced the number of farms by 37% in the last twelve years (201 in 02-03 and 127 in 14-15). A fee of this amount would add additional pressures. For a large milk processing plant, we would have to charge a minimum annual fee of $55,000. A fee of this amount would put Florida plants at an economic disadvantage with other states in the Southeast Region.

Farm Calculations (farms have only one product and typically have one water source)

5 Inspections per year @ $116.99 each	$ 584.95
15 Product Samples (collect) per year @ $116.99 each	$1,754.85
75 Product Analyses (15 x 5) @ $13.17 each	$ 987.75
4 Water Samples (collect) per year @ $116.99 each	$ 467.96
4 Water Analyses (4 x 1) @ $13.17 each	$ 52.68
TOTAL for Farm	$3,848.19

Plant Calculations (using a plant with 4 pasteurizers, 15 products in production and 4 cooling water sources)

5 Processing Inspections per year @ $116.99 each	$ 584.95
16 Pasteurizer Inspection per year @ $116.99 each (4 pasteurizers x 4 inspections)	$ 1,871.84
180 Product Samples (collect) per year @ $116.99	$21,058.20
2,160 Product Analyses (180 x 12) @ $13.17 each	$28,447.20
16 Water Samples (collect) per year @ $116.99 each	$ 1,871.84
16 Water Analyses (16 x 1) @ $13.17 each	$ 210.72
TOTAL for Plant	$54,044.75

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   Effective July 1, 2013, the majority of funding for the Bureau of Dairy Industry was moved from GITF to GR during the 2013 Legislative Session.

   Currently 13 of our 15 permits/licenses/certifications have no fee. Below is a plan to reduce the state subsidy for the Dairy Regulatory Program by 10%. Implementing this option will require a statute change. A public records

exemption would also need to be added. The following estimates were calculated using active out-of-state permits as of June 30, 2015 and an analysis of historical Federal Order 6 information.

Permit Type	# Active	Fee	Revenue
Milk Plant			
Out-of-State*	124	$500	$ 31,000
Frozen Dessert Plant			
Out-of-State**	62	$400	$ 22,320
(Net increase in fee)			
Per Hundred Weight (CWT)			
Assessment***	30,925,485	$0.00458	$141,639
TOTAL			$194,959

*Many out-of-state plants hold a permit even though they are not currently shipping into Florida. It is expected that 50%, or 62, of the current 124 out-of-state plants will request their permit be cancelled if a fee is assessed.

**Already charge $100 for an annual permit. Increasing the fee to $500 would generate a net increase of $400 per permit. A 10% cancellation rate is reflected in this figure.

***All milk processed in Florida falls under the Milk Market Administrator's (MMA) office in Atlanta, GA under Federal Order No. 6. The MMA office will verify milk receipts reported to them by processors if the processor has filed a release of information form with them. The MMA office conducts quarterly audits at marketing agencies and milk plants to validate reported numbers. This is the best source of information on milk receipts. NOTE: This information is considered confidential per federal law and a new records exemption will need to be created.

Florida is part of the FDA Southeast Region which includes AL, GA, LA, MS, NC, SC and TN. A recent poll of these states showed that AL, LA, MS, NC and TN are currently charging fees.

AL – $250 for Milk Plant, Single Service and Frozen Dessert
LA – $90 for Milk Producer and $300 for Milk Plant
MS – $300 for Milk Plant or Frozen Dessert and $100 for Manufacturing Plant
NC – $40 for Frozen Dessert or Manufacturing Plant (annual inspection fee)
TN – Sliding scale fee based on pounds received in plant - $20 - $400

Arkansas and Texas are two states in the south that fully fund their dairy regulatory programs through per hundred weight (CWT) fees. Arkansas assesses

$0.03 - $0.065 CWT fees depending on the type of permit and volume. Texas assesses $0.045 CWT to milk processors as well as $100 - $400 annually for a permit depending on the type of permit.

SPECIAL NOTE: A per hundred weight (CWT) assessment of $0.0458 would generate roughly $1.4 million and fully fund our program and allow us to routinely replace vehicles and equipment.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Department: Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: **Dairy Regulatory Program**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **No - 502.013(2)(a)2**

What percent of the regulatory cost is currently subsidized? (0 to 100%) **99%**

If the program is subsidized from other state funds, what is the source(s)? **General Revenue**

What is the current annual amount of the subsidy? $ **1,414,679**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Ice Cream and Frozen Desserts Wholesale Manufacturers	Frozen Dessert License	502.053(2)	$200 Initial $100 Renewal	1991	No	$200 Initial $100 Renewal	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42150200 Food Store Inspection Program/Food Lab
Fund(s): 2261, 2321 Federal Grants Trust Fund, General Inspection Trust Fund

Specific Authority: Chapters 381, 500 and 570, F.S., Chapter 5K- F.A.C.
Purpose of Fees Collected: The fees collected shall be used solely for the purpose of the recovery of costs for the services provided by the Division as required by statute and F.A.C.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15		ESTIMATED FY 2015-16		REQUEST FY 2016-17	
Receipts:	FGTF	GITF	FGTF	GITF	FGTF	GITF
Food Permit Fees		15,193,614		15,100,000		15,100,000
Reinspection Fees		49,075		50,000		50,000
Late Filing Penalties		166,658		170,000		170,000
Administrative Fines		172,224		350,000		350,000
Plan Review Fees		13,640		14,000		14,000
COOL Agreement Fees		79,600		80,000		80,000
U.S. Grants	1,155,640		1,300,000		1,300,000	
Certification Report Fees		402,875		450,000		450,000
Bottled Water Permits		106,325		110,000		110,000
Epidemiology Surcharge		433,862		435,000		435,000
Misc. Revenue (Refunds, Other)	3,149	45,846		25,000		25,000
FDA Contract Agreement		118,305		375,000		375,000
Total Fee Collection to Line (A) - Section III	1,158,789	16,782,024	1,300,000	17,159,000	1,300,000	17,159,000

SECTION II - FULL COSTS

Direct Costs:	FGTF	GITF	FGTF	GITF	FGTF	GITF
Salaries and Benefits	418,249	10,083,460	450,000	10,000,000	450,000	10,380,000
Other Personal Services	36,893	9,625	40,000	10,000	40,000	10,000
Expenses	388,630	1,242,685	450,000	1,275,000	450,000	1,275,000
Contracted Services	108,991	288,736	125,000	300,000	125,000	300,000
Operating Capital Outlay	146,163	150,087	70,000	50,000	70,000	50,000
HR Assessment		58,526		58,000		60,250
Data Processing	11,290	429,307	15,000	440,000	15,000	440,000
General Revenue S/C		1,352,241		1,375,000		1,375,000
Refunds		12,342		15,000		15,000
Transfers-Epidemiology		398,647		400,000		400,000
Motor Vehicles				175,000	27,635	250,000
Indirect Costs Charged to Trust Fund	46,925	2,588,845	50,000	2,400,000	50,000	2,500,000
Total Full Costs to Line (B) - Section III	1,157,142	16,614,500	1,200,000	16,498,000	1,227,635	17,055,250

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		FGTF	GITF	FGTF	GITF	FGTF	GITF
TOTAL SECTION I	(A)	1,158,789	16,782,024	1,300,000	17,159,000	1,300,000	17,159,000
TOTAL SECTION II	(B)	1,157,142	16,614,500	1,200,000	16,498,000	1,227,635	17,055,250
TOTAL - Surplus/Deficit	(C)	1,647	167,524	100,000	661,000	72,365	103,750

EXPLANATION of LINE C:

GITF revenues for FY 2014-15 increased significantly comparative to FY 13-14 as FIMS programmatic solutions were implemented. In FY 2015-16, revenues and expenditures will increase slightly, with a significant increase in expenditures in FY 2016-17, due to an increase in projected salaries and motor

It is important to note that food establishment permit fees are not inspection fees, they are one-time annual fees regardless of the number of inspections performed per location. These fees support public health protection activities including laboratory analyses of foods produced outside of our state borders. In accordance with Chapter 500, F.S., all food products sold in Florida are regulated by this Department. However, most food processors or manufacturers are located in other states or countries where the Department has no permit or inspection authority. Benefits to the general public from this program include the availability of food products that are safe, wholesome, and properly labeled to prevent injury or harm, regardless of where they are produced or grown. Prevention of and response preparedness to terrorist actions which threaten the safety of the food supply is another public benefit which is becoming a significant component of this responsibility. Rapid identification and containment of contaminated food products are essential components of these efforts, and all Floridians reap the benefits of these capabilities.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Food Store Inspection Program

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   In FY 14-15, the Division of Food Safety, Bureau of Food Laboratory (BFL) acquired a platform for performing whole genome sequencing (WGS) using Food and Drug Administration (FDA) funds for the identification and tracking of food-borne pathogens. As collaborative work with FDA, Center for Food Safety and Nutrition (FDA-CFSAN), the Centers for Disease Control and Prevention (CDC), and other states, the BFL is collecting data on historical pathogens isolated from Florida commodities to build-out the national databases to increase the power of this technology in food safety and regulation. WGS provides a level of detailed information previously un-matched which can be used to identify, track, and prevent food-borne pathogen outbreaks by obtaining the complete genetic code of the pathogens, and using sophisticated data analytics, relationships through descent can be ascertained to better inform on how to stop the spread of potentially harmful products. WGS is a more affordable form of laboratory testing when considering a decrease in the response time to food-borne pathogenic incidents due to the greater detail. The BFL is currently building a Florida-specific database to aid in identifying in-state outbreaks that may not be apparent on the national level.

   The division has automated the process utilizing the Food Inspection Management System (FIMS) for identifying and determining Administrative Compliance cases. This system allows an increase in productivity by utilizing a more efficient business process and also provides a more time appropriate issuance of cases.

   The division has developed website functions allowing consumers to enter food related complaints, to complete applications for initial inspections online, and to report a foodborne illness or injury 24 hours a day to be a more consumer friendly operation. This online function will help decrease phone calls and increase response time to complaints.

   The division has made improvements in the FIMS system to allow for daily activity reports of inspectors to no longer be required to be emailed to Tallahassee for verification. This information is now captured in the FIMS system without additional work task and can be retrieved and reviewed at any time.

The division has also implemented the Document Control System, Paradigm 3 (P3) in the food laboratories. It is estimated that implementation of the P3 system is now saving the laboratories more than half of a FTE. Document control and publishing used to be a full time job, but with P3 it is able to be done by one person, taking about half of their time. Also, although harder to measure, there are substantial incremental time savings for all staff, which are now able to almost instantly access and print current documents, start new drafts instantly, edit, review, and approve them, and have them published. Staff can also carry out full text searches of all documents in the system that returns accurate results in under a minute (as compared to inaccurate and very slow Windows folder full-text searches). Recordkeeping and retrieval are now more accurate and take significantly less time.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The Bureau of Food and Meat Inspection has identified a re-organization plan for implementation to provide a more streamlined and cost efficient business process, be more productive and effective at completing our mission of protecting public health, and lay the foundation for the implementation of the Food Safety Modernization Act (FSMA) as it relates to food safety. The focus of this reorganization plan is based on the critical need for separation of the retail and manufacturing inspection business process. This change will dramatically increase efficiency and effectiveness within the bureau by streamlining the inspection process. The division currently trains all field inspectors to conduct retail food inspections using the Model Food Code and trains them to use the Code of Federal Regulations (CFR's). Because of the complexity of all the various regulations and the major differences in inspection methods, inspectors are challenged to be proficient in all areas of food regulations. The required extensive training can be very costly and time consuming. The proposed re-organization plan will allow the division to train inspectors hired for each specific program to produce highly skilled inspectors with exceptional knowledge and proficiency in their assigned program.

   The Division has conducted research and has determined a need to increase efficiency and productivity in our consumer call center. A plan is being developed to utilize current phone system applications available as well as integrating additional phone and computer based systems to be more proficient with our customer service.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   A primary mission of the Department of Agriculture and Consumer Services is to safeguard the public health and support Florida's agricultural economy by

ensuring the safety and wholesomeness of food and other consumer products through inspection and testing programs, and protecting consumers from unfair and deceptive business practices and providing consumer information. The Division of Food Safety's statutory directive to "safeguard the public health and promote the public welfare by protecting the consuming public from injury" serves that primary mission through its food safety inspection and laboratory activities.

The regulation of food safety is a basic tenet of public health principles. As the lead state agency for food safety, the Department of Agriculture and Consumer Services has a responsibility to ensure the protection of Florida's residents and guests and a comprehensive regulatory program is an appropriate function towards achieving an acceptable level of protection. With the emergence of possible threats to our food supply through "bioterrorism" and/or "agroterrorism", that responsibility has increased exponentially. As a result, the current level of responsibility is not only appropriate is being further expanded and developed to include more preparedness for emergency response needs. In addition, due to the Food Safety Modernization Act (FSMA) adoption by the federal government, the Division will play a vital role in the development and implementation of a manufactured food program.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   Revenue projections by the Division of Food Safety are developed using historical revenue data, trend analysis involving actual and estimated firm counts, firm categories and associated fees, and the impact of current cooperative agreements in all bureaus, which involve participation with the federal government and private industry in generating revenues. Permit fees are adjusted to the extent practicable based on revenue projections, with consideration given to maintaining equity among firm categories.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Regulatory fees are used to directly support the Bureau of Food and Meat Inspection, the support services provided by the Bureau of Food Laboratories and appropriate administrative support functions. Sufficiency of funds going forward is contingent upon the census of food firms to be billed for services provided and the relationship of costs incurred to provide such services.

   It is important to note that in addition to its regulatory component, food safety is a public health program which benefits Florida citizens and our guests by protecting

the consuming public from injury from unsafe food products, regardless of their origin. Food producers in other states and countries are not charged a permit fee, and are not regulated by this Department, though the products they sell here are regulated. General Revenue funds were historically a component of this program; used to supplement the fees generated in support of this program. At such time that Florida revenue resources recover, consideration should be given to restore the provision of General Revenue funds to this program.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required conducting inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   It is important to note that the food establishment permit fees are not inspection fees; these fees support public health protection activities including analyses of foods produced outside of state borders. As indicated above, the permit fees developed by the Division of Food Safety include consideration of the number of inspections conducted annually, as well as the time and manpower expended to regulate firms of differing sizes and operations. Supermarkets ($650 annually) with multiple operations under one roof (deli, meat market, seafood counter, bakery, etc.) and which carry tens of thousands of different food products obviously require a great deal of time and expertise to inspect, while a limited food sales operation ($130 annually) may only require a relatively short amount of time. Other physically smaller operations, such as a seafood processor ($520 annually) may require greater oversight due to the complex nature and risks associated with its operations.

   In addition, the Division has instituted a re-inspection fee to compensate for the cost per service of conducting subsequent visits to firms that are not in compliance during the routine inspection. The current re-inspection fee for the Division is $135 per re-inspection. This fee is also considered as a deterrent to poor sanitation and safety practices.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically

describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

While current fee increases have stabilized the food inspection program's fiscal status at this time, there is the anticipation that deficits will occur again in future years due to ongoing increases to program costs. A statutory change in Chapter 500, Florida Statutes, is needed on a periodic basis to raise the fee capacity proportionate with increasing program costs. A corresponding administrative rule change will have to occur to assess each firm category to determine the appropriate permit fee for each firm type and activity.

Clearly, all Floridians face potential adverse health impacts from poor sanitation in food establishment, and conversely, benefit from a program that reduces these risks. However, as indicated previously, the food safety program is not limited to the regulation of permitted food establishments, and funding of the program should not be limited to fees collected by the regulated businesses. Additional benefits to the general public from this program include the availability of food products that are safe, wholesome, and properly labeled to prevent injury or harm, regardless of where they are produced or grown. Prevention of and response preparedness to terrorist actions which threaten the safety of the food supply is another public benefit which is becoming a significant component of this responsibility. Rapid identification and containment of contaminated food products are essential components of these efforts, and all Floridians reap the benefits of these capabilities.

It is appropriate and important that a portion of the activity be supported by General Revenue to reflect the public health benefits of the Division's programs and activities. Future laboratory resources will also be needed to deal with new food types and analyses, improve methods for identification of pathogens, increase sensitivity of detection, and expand the current scope of testing.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   As stated in our response to question seven, a statutory change in Chapter 500, Florida Statutes, is needed on a periodic basis to raise the fee capacity proportionate with increasing program costs.

Schedule IA - Part II: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Business or Profession Program: Food Store Inspection

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No. Chapter 500,FloridaStatutes

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in
FOOD SAFETY	Food Permit	500.12(1)(b)	$650	2008	YES	$100 - $650	General Inspection TF
	Bottled Water Plant	500.12(1)(b)	$1,000	1992	YES	$500	General Inspection TF
	Packaged Ice Plant	500.12(1)(b)	$250	1992	YES	$250	General Inspection TF
	Late Fee	500.12(1)(b)	$100	1994	YES	$100	General Inspection TF
	Water Vending	500.459	$200	1992	YES	$35	General Inspection TF
	Export Certificate	500.148	See Rule	2002	YES	$15 Standard *	General Inspection TF
	Reinspection Fee	500.09(7)	Reasonable	2001	YES	$135	General Inspection TF
	Plan Review	500.12(2)	See Rule	1994	YES	$55.10 **	General Inspection TF
	Lab Fees	500.09(7)	Reasonable	1998	NO	Actual cost recovery	General Inspection TF
	Epidemiological Fees	381.006(10)	$10	1992	NO	$10 ***	Pass through DOH
	Administrative Fines	500.121 570.971	$5,000	2014	NO	Variable	General Inspection TF
	Administrative Fines	500.121(2) 570.971	$5,000 ****	2014	NO	Variable	General Inspection TF

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES

42160100

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2015-16**
Program: 42160100 Feed Regulation
Fund(s): 1000, 2261, 2321 General Revenue, Federal Grants Trust Fund, General Inspection Trust Fund

Specific Authority: 580.041(1), 580.065
Purpose of Fees Collected: To ensure that Florida consumers receive feed products that conform to the Commercial Feed Law and to provide uniform regulation to feed producers and distributors.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014 - 15			ESTIMATED FY 2015 - 16			REQUEST FY 2016 - 17		
Receipts:	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
U.S. Grants		223,824			600,000			600,000	
Feed Deficiency Penalties			1,893			8,929			9,000
Feed Master Registration			565,025			523,097			565,025
Feed Lab Certification			3,900			3,600			3,900
Administrative Fines			66,992			16,968			16,968
Misc. - Other			0			943			943
BSE Inspection			179,375			100,000			100,000
Refunds			1,296			5,273			5,273
Total Fee Collection to Line (A) - Section III	-	223,824	818,481		600,000	658,810		600,000	701,109

SECTION II - FULL COSTS

	ACTUAL FY 2014 - 15			ESTIMATED FY 2015 - 16			REQUEST FY 2016 - 17		
Direct Costs:									
Salaries and Benefits			76,025			90,299			90,299
Other Personal Services		61,792			162,720			162,720	
Expenses		102,410	6,183		95,139	13,993		95,139	13,993
Contracted Services		15,993			264,000	-		264,000	-
Operating Capital Outlay		44,493			78,141			78,141	
Data Processing						0			0
HR Assessment			330			336			336
General Revenue S/C			78,796			78,796			78,796
Field Inspection			302,805			301,422			301,422
Refunds			994			994			994
Indirect Costs Charged to Trust Fund	989		21,239	912		16,543	912		16,543
Total Full Costs to Line (B) - Section III	989	224,688	486,372	912	600,000	502,383	912	600,000	502,383

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		ACTUAL FY 2014 - 15			ESTIMATED FY 2015 - 16			REQUEST FY 2016 - 17		
TOTAL SECTION I	(A)	-	223,824	818,481	-	600,000	658,810	-	600,000	701,109
TOTAL SECTION II	(B)	989	224,688	486,372	912	600,000	502,383	912	600,000	502,383
TOTAL - Surplus/Deficit	(C)	(989)	(864)	332,109	(912)	-	156,427	(912)	-	198,726

EXPLANATION of LINE C:
Receipts cover most direct and indirect costs for this program area.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Feed Regulation

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Division constantly strives for operational efficiency. We have implemented a more efficient Laboratory Information Management System (LIMS), which has automated licensing and laboratory processes, and provides stakeholders, via the Internet, real-time program information.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The Division has been re-organized into functional units (inspection, licensing, etc.). Efficiencies in licensing, inspection costs, and enforcement activities are anticipated but have not been tabulated.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   The regulation of feed is essential to the continued economically viable production of livestock and protection of the health of companion animals. Feed regulation is needed to ensure that feed meets quality standards and is free from contaminants. A critically important part of the program is the monitoring of feed for prohibited proteins that are strictly regulated to prevent the transmission of bovine spongiform encephalopathy (BSE) or mad cow disease, as well as surveillance of animal feed and feed ingredients for the presence of mycotoxins.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The fees charged are set in statute or rule.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

As a result of a fee increase enacted by the 2008 Legislature, the fees charged exceeded direct and indirect costs to the General Inspection Trust Fund portion of the program area for FY 14-15, and we anticipate that this will continue for FY 15-16.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged are set in statute or rule.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees charged are adequate to cover all direct and indirect costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   We believe that supporting this program area is appropriate, since the regulation of commercial feed provides an obvious public benefit.

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Feed Regulation

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No, Ch. 580, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) Allocated GR costs total 0.20% of the GR+GITF costs, GITF receipts exceed costs by 68.3%

If the program is subsidized from other state funds, what is the source(s)? General Revenue and GITF

What is the current annual amount of the subsidy? $ 989 GR

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
License Feed Companies	Feed Master Registration	580.041(1)(a) 5E-3.015(1) 5E-3.015(2)	No No No	2008	No	Fees are variable, ranging from $40 to $3,500	General Inspection Trust Fund
Certify Feed Laboratories	Certification Fee	580.065(2)(a)	No	1994	No	Application Fee $100, $300 per requested category of testing	General Inspection Trust Fund
Exemption From Certified Laboratory Testing Requirements	Evaluation Fee	580.091(5)(c)	No	1994	No	Variable*	General Inspection Trust Fund

*The Department charges fees to cover the direct and indirect costs of evaluation and approval.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2015-16**
Program: 42160100 Fertilizer Regulation
Fund(s): 1000, 2321 General Revenue, General Inspection Trust Fund

Specific Authority: 576.021, 576.041, 576.045, 576.051(2)
Purpose of Fees Collected: To ensure that Florida consumers receive fertilizer products that conform to the Commercial Fertilizer Law, to provide uniform regulation to fertilizer producers and distributors and to provide environmental protection from heavy metal contaminants in fertilizers.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15		ESTIMATED FY 2015 - 16		REQUEST FY 2016 - 17	
Receipts:	GR	GITF	GR	GITF	GR	GITF
Fertilizer Dealer Licenses		69,901		68,000		70,000
Fertilizer Reporting Fees		1,894,011		1,894,011		1,894,011
Lime Reporting Fees		191,774		191,774		191,774
Phosphate Reporting Fees		1,322		2,272		2,272
Specialty Fertilizer Registration		234,025		234,000		234,000
Commercial Sampling		2,467		2,500		2,500
Penalties		34,923		46,975		50,900
Administrative Fines				24,240		24,240
Refunds				13,183		13,183
Fees - Nitrogen		-				
Total Fee Collection to Line (A) - Section III	-	2,428,423	-	2,476,955	-	2,482,880

SECTION II - FULL COSTS

	ACTUAL FY 2014-15		ESTIMATED FY 2015 - 16		REQUEST FY 2016 - 17	
Direct Costs:						
Salaries and Benefits		944,991		1,021,346		1,021,346
Other Personal Services		7,895		10,000		10,000
Expenses		144,928		140,231		140,231
Contracted Services		39,685		-		-
Operating Capital Outlay						
HR Assessment		4,196	-	4,084	-	4,084
Data Processing		0	-	-	-	-
General Revenue S/C		194,120		194,120		194,120
Refunds		3,297		3,297		3,297
Field Inspection		757,012		753,555		753,555
Indirect Costs Charged to Trust Fund	8,813	112,312	7,758	87,194	7,758	87,194
Total Full Costs to Line (B) - Section III	8,813	2,208,436	7,758	2,213,827	7,758	2,213,827

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		ACTUAL FY 2014-15		ESTIMATED FY 2015 - 16		REQUEST FY 2016 - 17	
TOTAL SECTION I	(A)	-	2,428,423		2,476,955		2,482,880
TOTAL SECTION II	(B)	8,813	2,208,436	7,758	2,213,827	7,758	2,213,827
TOTAL - Surplus/Deficit	(C)	(8,813)	219,987	(7,758)	263,128	(7,758)	269,053

EXPLANATION of LINE C:
Surplus of revenues from the Pesticide Regulation Program are used to help cover the deficit in this program which arise from allocated costs.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Fertilizer Regulation

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Division constantly strives for operational efficiency. Antiquated and inefficient analytical methods and equipment have been replaced with current methodologies and modern, automated equipment. We have implemented a risk-based inspection strategy that has reduced the number of samples collected (3,434 in FY 14-15 compared to 6,478 in FY 06-07), while focusing on deficient samples with a deficiency rate of 24% for FY 14-15.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   We will continue to refine the risk-based regulatory program. We anticipate continuing to operate at costs reduced from those of the program prior to the implementation of the risk assessment strategy. We have also implemented a Laboratory Information Management System (LIMS) that will reduce data entry requirements and increase efficiency.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   The regulation of fertilizers is essential to the continued use of fertilizers needed for food and fiber production and landscape management. Fertilizer regulation is needed to ensure that guaranteed amounts of nutrients are present in fertilizers and that contaminants, such as heavy metals from recycled hazardous waste, are not present. The regulation of fertilizers used in urban landscapes has become increasingly important as concerns have arisen regarding fertilizer's impact on water quality in spring watersheds and coastal areas.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The fees charged are set in statute or rule.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   As a result of fee increases enacted by the 2008 and the 2009 Legislature, the fees charged covered most of the direct and indirect costs to the General Inspection Trust Fund portion of the program area for FY 14-15.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged are set in statute or rule.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees charged are adequate to cover most of the direct and indirect costs for the General Inspection Trust Fund.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   We believe that a state subsidy for this regulatory program is appropriate since it provides a public benefit.

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Fertilizer Regulation

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No, Ch. 576, F.S.

What percent of the regulatory cost is currently subsidized? 0.40% from GR. For FY 14-15, revenue exceed GITF cost by $219,987, or 10.0%

If the program is subsidized from other state funds, what is the source(s)? General Revenue

What is the current annual amount of the subsidy? $8813 from GR; $0 from GITF

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Regulate Fertilizer Companies	Fertilizer License	576.045 and 576.021	Yes	1994	No	$200	General Inspection Trust Fund
Regulate Fertilizer Companies	Specialty Fert. Reg.	576.045 and 576.021	Yes	2009	No	$200	General Inspection Trust Fund
Regulate Fertilizer Companies	Inspection Fees	576.041	Yes	2008	No	$.30 Lime, $1.00 Ton.	General Inspection Trust Fund
Regulate Fertilizer Companies	Nitrogen/Phosphorus Fee	576.045	Yes	1994	No	Additional $.50 Ton for Nitrogen or Phosphorus	General Inspection Trust Fund
Regulate Fertilizer Companies	Commercial Fertilizer Test	576.051(2)	Yes	1998	Yes	Various Charges	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2015-16**
Program: 42160100 Pest Control
Fund(s): 1000, 2528 General Revenue, Pest Control Trust Fund

Specific Authority: 482.032, 482.061, 482.071, 482.155, 482.156
Purpose of Fees Collected: To ensure that Florida consumers receive pest control services that conform to the Florida Structural Pest Control Act and to provide uniform regulation to pest control licensees.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15			ESTIMATED FY 2015- 16			REQUEST FY 2016 - 17		
Receipts:	GR	FGTF	PCTF	GR	FGTF	PCTF	GR	FGTF	PCTF
U.S. Grants		92,837			383,223			156,162	
Exam Fees			565,527			554,000			576,200
Prior Notification Registration			610			620			620
Emergency Certification Fees			36,100			36,100			36,100
Pest Control Licenses			3,151,829			3,205,320			3,121,670
Expedite Fees			54,605			8,000			8,000
Late Penalties			88,025			94,900			94,900
Administrative Fines			77,030			97,000			97,000
Interest on Investments			39,976			37,600			37,600
Copies/Refunds			704			900			900
Refunds		228	0			200			200
Misc service fees			1,613			1,600			1,600
Total Fee Collection to Line (A) - Section III	-	93,065	4,016,019	-	383,223	4,036,240	-	156,162	3,974,790

SECTION II - FULL COSTS

	ACTUAL FY 2014-15			ESTIMATED FY 2015- 16			REQUEST FY 2016 - 17		
Direct Costs:									
Salaries and Benefits			2,854,055			3,193,376			3,193,376
Personnel Assessment			15,139			15,139			15,139
Other Personal Services			14,422			41,530			41,530
Expenses			423,320			394,514			394,514
Contracted Services		92,837	93,387	-		206,425			206,425
Operating Capital Outlay			374,324			109,645			109,645
Data Processing			164,414			164,414			164,414
Transfers out to DFS			1,150			1,150			1,150
Assessment on Investments			3,037			3,037			3,037
Refunds		228	28,955			28,955			28,955
Indirect Costs Charged to Trust Fund			288,448			0			0
Total Full Costs to Line (B) - Section III	-	93,065	4,260,651	-	0	4,158,185	-	0	4,158,185

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		ACTUAL FY 2014-15			ESTIMATED FY 2015- 16			REQUEST FY 2016 - 17		
TOTAL SECTION I	(A)		93,065	4,016,019		383,223	4,036,240		156,162	3,974,790
TOTAL SECTION II	(B)		93,065	4,260,651		0	4,158,185		0	4,158,185
TOTAL - Surplus/Deficit	(C)	-	0	(244,632)	-	383,223	(121,945)	-	156,162	(183,395)

EXPLANATION of LINE C:
This regulatory activity is supported by funds collected from the industry and deposited into the Pest Control Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Pest Control Regulation

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Division constantly strives for operational efficiency. 4,102 inspections and investigations were conducted in FY 14-15. The number of pest control licensees continues to grow. A risk-based investigative system that targets high-risk areas such as structural fumigation has been implemented. Efforts to increase efficiencies in this program area include:

   - Completion of a document imaging program that eliminated 1.5 million documents (120 filing cabinets).
   - Movement from leased space to Department owned office space.
   - Implementation of electronic mail notification of licensees for legally required notices to reduce mail-out costs to save approximately $30,000 per year.
   - Implementation of an electronic notification system for notices of structural fumigation.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   - The risk-based enforcement strategy will continue to be refined. We have not completed an estimate of potential savings.

   - Implementation of an on-line license application and renewal system to automate license issuance. Once implemented we anticipate enhanced turn-around time for license issuance and reduced cost associated with a paper based process. Once implemented, we can estimate potential cost savings.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   The regulation of pest control is absolutely essential to the continued provision of pest management services that protect public health and private property. Without effective regulation, the potential exists for fraudulent or unsafe practice of pest control that will endanger public health and private property.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The fees charged are set in statute or rule.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   The fees charged covered all direct and indirect charges to the Pest Control Trust Fund for FY 14-15.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged are set in statute or rule.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   The regulation of pest control provides substantial public benefits well in excess of the amount of public funds expended. These benefits include:

- Prevention of misuse of pesticides by untrained or unsupervised pest control applicators, thereby preventing harm to human health, public and private property and the environment.
- Prevention of poor performance of pest control by unlicensed or untrained and unsupervised persons.
- Prevention of misleading and deceptive practices in the conduct of pest control.
- Enforcement of requirements for protection contracts for performance of wood destroying organism pest control.

The Pest Control Industry in Florida provides services worth over $ 1.4 billion [1]. One important component of pest control in Florida is protection against wood-destroying organisms. Costs for subterranean termite control and repair alone are estimated to be $484,000,000 based on a 2000 survey of Florida homeowners[2].

A critical benefit of pest control is protection of public health through the control of disease carrying flies, roaches, and rodents.

References:

1. - National Pest Management Association, email from Cindy Mannes, 9/20/06.

2. - A Survey of Florida Homeowners Regarding Termite Infestation, January, 2001
Michael J. Scicchitano and Tracy L. Johns, Shimberg Center, Policy and Management Research, University of Florida, Gainesville, Florida.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

Fees collected in this program completely support this program.

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Pest Control

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No, Ch. 482, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) Direct costs for this program area are fully funded by fees received into the Pest Control Trust Fund.

If the program is subsidized from other state funds, what is the source(s)? None.

What is the current annual amount of the subsidy?

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Pest Control	Pest Control License - Initial fee	482.071(2)(b) 5E-14.142(5)(h)	$300	1992	Yes	$250	Pest Control Trust Fund
Pest Control	Pest Control License - Renewal fee (annual)	482.071(2)(b) 5E-14.142(5)(i)	$300	1992	Yes	$250	Pest Control Trust Fund
Pest Control	Pest Control Customer Contact Center License - Initial fee (2 year)	482.072 (2)(b), 5E-14.150	$1,000	2011	Yes	$600	Pest Control Trust Fund
Pest Control	Pest Control Customer Contact Center License - Renewal	482.072 (2)(b), 5E-14.150	$1,000	2011	Yes	$600	Pest Control Trust Fund
Pest Control	Pest Control License - Change of Business Location Address fee	482.071(2)(d)	$25	1992	No	$25	Pest Control Trust Fund
Pest Control	Pest Control License - Change of Business Name fee	482.071(2)(d)	$25	1992	No	$25	Pest Control Trust Fund
Pest Control	Pest Control License - Change of Business Ownership fee	482.071(2)(a) 5E-14.142(5)(h)	$300	1992	Yes	$250	Pest Control Trust Fund
Pest Control	Pest Control License - Late License Renewal fee	482.071(2)(b)	$50	1992	No	$50	Pest Control Trust Fund
Pest Control	Pest Control License - Expedite fee	482.071(2)(f) 5E-14.142(5)(h)	$50	1992	Yes	$50	Pest Control Trust Fund
Pest Control	Pest Control Employee ID Card - Initial fee	482.091(1)(b), (5)	$10	1992	No	$10	Pest Control Trust Fund
Pest Control	Pest Control Employee ID Card - Renewal fee (annual)	482.091(4),(5)	$10	1992	No	$10	Pest Control Trust Fund
Pest Control	Pest Control Employee ID Card - Change of Business Location, Name or Ownership fee	482.091(4),(5)	$10	1992	No	$10	Pest Control Trust Fund
Pest Control	Pest Control Operator Certificate - Issuance fee	482.111(1),(7) 5E-14.132(3)	$150	1992	Yes	$150	Pest Control Trust Fund
Pest Control	Pest Control Operator Certificate - Renewal fee (annual)	482.111(3), (7) 5E-14.132(3)	$150	1992	Yes	$150	Pest Control Trust Fund
Pest Control	Pest Control Operator Certificate - Late fees	482.111(1), (3) 5E-14.132(1), (2)	$50	1992	Yes	$50	Pest Control Trust Fund
Pest Control	Emergency Certificate - Initial fee (30 day)	482.111(9)	$50	1992	No	$50	Pest Control Trust Fund
Pest Control	Emergency Certificate - Additional Periods fee (30 day)	482.111(9)	$50	1992	No	$50	Pest Control Trust Fund
Pest Control	Special ID Card - Initial fee	482.151(5) 5E-14.136(2)	$100	1992	Yes	$100	Pest Control Trust Fund
Pest Control	Special ID Card - Renewal fee (annual)	482.151(6) 5E-14.136(3)	$100	1992	Yes	$100	Pest Control Trust Fund
Pest Control	Special ID Card - Late fees	482.151(5),(6) 5E-14.136(2),(3)	$25	1992	No	$25	Pest Control Trust Fund
Pest Control	Examination Fees - Certified Operator Initial	482.141(2) 5E-14.123(4)	$300	1992	Yes	$225	Pest Control Trust Fund
Pest Control	Examination Fees - Special ID Initial	482.151(4) 5E-14.123(5)	$200	1992	Yes	$200	Pest Control Trust Fund
Pest Control	Optional CEU Certificate Renewal by Examination fee	482.111(10)(c)	$300	1992	Yes	$225	Pest Control Trust Fund
Pest Control	Limited Gov't Private Exam and Issuance fee (4 yr license)	482.155(1)(b) 5E-14.117(17)	$150	1992	Yes	$150	Pest Control Trust Fund
Pest Control	Limited Gov't Private Certificate Renewal	482.155(1)(b) 5E-14.117(17)	$25	1992	Yes	$25	Pest Control Trust Fund
Pest Control	Limited Certification for Urban Landscape Commercial Fertilizer Application (four year)	482.1562 (3), 5E-14.117(18)	$75	2009	Yes	$25	Pest Control Trust Fund
Pest Control	Limited Commercial Lawn Maintenance Exam and Issuance fee (annual)	482.156(2)(a) 5E-14.117(11)	$150	1992	Yes	$150	Pest Control Trust Fund
Pest Control	Limited Commercial Lawn Maintenance Certificate Renewal	482.156(3) 5E-14.117(11)(b)(5)	$75	1992	Yes	$75	Pest Control Trust Fund
Pest Control	Limited Commercial Lawn Maintenance Late fee	482.156(3)	$50	1992	No	$50	Pest Control Trust Fund
Pest Control	Limited Commercial Wildlife Management - Initial fee	482.157(2)(a), 5E-14.117(19)	$300	2011	Yes	$150	Pest Control Trust Fund
Pest Control	Limited Commercial Wildlife Management - Renewal	482.157(2)(a), 5E-14.117(19)	$150	2011	Yes	$75	Pest Control Trust Fund
Pest Control	Prior Notification Registry - Initial	482.2267(1)	$50	1992	No	$50	Pest Control Trust Fund
Pest Control	Prior Notification Registry - Annual Renewal	482.2267(3)	$10	1992	No	$10	Pest Control Trust Fund
Pest Control	Service Charge - Returned Checks		$15	1992	No	$15	Pest Control Trust Fund
Pest Control	Service Charge - Records Duplication	Ch 119	$5 (min)	1992	No	$5 (min)	Pest Control Trust Fund
Pest Control	Administrative Fines Imposed	482.161, 482.2401(3)	$5,000 per violation	1992	No	Up to $5,000 per violation	Pest Control Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2015-16**
Program: 42160100 Pesticide Regulation
Fund(s): 1000, 2261, 2321 General Revenue, Federal Grants Trust Fund, General Inspection Trust Fund

Specific Authority: 487.04, 487.041, 487.045, 487.048, 487.071
Purpose of Fees Collected: To ensure that pesticides are distributed and used in Florida in accordance with the Florida Pesticide Law and to provide uniform regulation to pesticide users.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15			ESTIMATED FY 2015-16			REQUEST FY 2016 - 17		
Receipts:	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
U. S. Grants		604,945			417,017			734,838	
Pesticide Dealer's License			97,600			96,000			97,600
Pesticide Applicator's License			500,507			473,950			500,512
Pesticide Registration			5,493,621			5,600,000			5,050,000
Misc - Penalties			16,200			15,875			15,875
Administrative Fines			40,400			37,932			34,780
Misc. - Other			2,211			-			-
Refunds		-	1,281		0	21,532		0	21,532
Supplemental Registration			357,039			403,605			354,101
Other transfers		-				-			-
Total Fee Collection to Line (A) - Section III	-	604,945	6,508,859	-	417,017	6,648,894	-	734,838	6,074,400

SECTION II - FULL COSTS

	ACTUAL FY 2014-15			ESTIMATED FY 2015-16			REQUEST FY 2016 - 17		
Direct Costs:	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
Salaries and Benefits		354,449	1,868,450		351,407	1,568,855		351,407	1,568,855
Other Personal Services			1,837		-			-	
Expenses		34,198	197,842		150,048	175,935		150,048	175,935
Contracted Services		121,073	17,186		161,872	-		161,872	-
HR Assessment			8,269			8,058			8,058
Operating Capital Outlay		57,515			387,935			387,935	
Data Processing						-			-
Transfers									
General Revenue S/C			1,112,217			1,112,217			1,112,217
Field Inspection			976,798			972,337			972,337
Refunds			8,163			8,163			8,163
Indirect Costs Charged to Trust Fund	24,270	37,877	1,828,294	58,163	0	1,239,005	58,163	0	1,239,005
Total Full Costs to Line (B) - Section III	24,270	605,112	6,019,056	58,163	1,051,262	5,084,570	58,163	1,051,262	5,084,570

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		ACTUAL FY 2014-15			ESTIMATED FY 2015-16			REQUEST FY 2016 - 17		
		GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
TOTAL SECTION I	(A)	-	604,945	6,508,859	-	417,017	6,648,894	-	734,838	6,074,400
TOTAL SECTION II	(B)	24,270	605,112	6,019,056	58,163	1,051,262	5,084,570	58,163	1,051,262	5,084,570
TOTAL - Surplus/Deficit	(C)	(24,270)	(167)	489,803	(58,163)	(634,245)	1,564,324	(58,163)	(316,424)	989,830

EXPLANATION of LINE C:
Surplus of revenues is used to cover deficits in other programs.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Pesticide Regulation

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Electronic payment of registration fees has been implemented and augments the implementation of an Oracle-based, web-accessible registration system that has allowed the reduction of one staff position, while improving tracking of over 15,000 registered pesticides. A biennial registration program was implemented in January 2009 that allows registrants to pay for two years of registration at a time.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   We will continue to refine the web-accessible registration system and electronic payment system. Legislative changes enacted in 2011 were implemented in January 2012 and required pesticide registrants to make fee payments online, reducing data entry and clerical workload. We are working to image our current and archived pesticide labels and provide web access to make these documents quickly available to regulatory officials and the public, allowing registration staff to work on other program priorities. We will continue to refine the risk-based enforcement program.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   The regulation of pesticides and pesticide use is absolutely essential to the continued use of pesticides needed for food and fiber production, pest management, protection of public health, protection of private property, protection from aquatic weed accumulation in waterways used for flood control, and landscape management. Pesticide regulation is needed to ensure that pesticides are used in ways that protect public health, agricultural workers, environmental resources, water and air quality. Pesticide regulation is also needed to protect Florida's industries, including agriculture and tourism, the state's two largest industries.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally

accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?
The fees charged are set in statute or rule.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Current fees are adequate to cover the direct and indirect costs of the program.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged are set in statute or rule. Fees are reviewed routinely and are increased when necessary and without undue hardship on the regulated industry. Fee increases in this program area were proposed and adopted in the 2008 and 2009 Legislative sessions.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   The fees collected cover direct and indirect costs charged to the trust fund.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   We believe that providing General Revenue to support this program area is appropriate, since the regulation of pesticides and pesticide use provide an obvious public benefit.

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Pesticide Regulation

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No, Ch. 487, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) Allocated GR costs total 0.40% of the GR+GITF costs, GITF receipts exceed costs by 8.1%

If the program is subsidized from other state funds, what is the source(s)? General Revenue

What is the current annual amount of the subsidy? $24,270 GR

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
License Pesticide Applicators & Dealers	Private Applicators	487.045(1)	Yes	2002	Yes	$100	General Inspection Trust Fund
License Pesticide Applicators & Dealers	Public Applicators	487.045(1)	Yes	2002	Yes	$100	General Inspection Trust Fund
License Pesticide Applicators & Dealers	Commercial Applicators	487.045(1)	Yes	2002	Yes	$250	General Inspection Trust Fund
License Pesticide Applicators & Dealers	Pesticide Dealer	487.048(1)	Yes	2002	Yes	$250	General Inspection Trust Fund
Regulate Pesticide Products	Annual Pesticide Registration Fee	487.041(3)	$350 per registered product; $100 for Exp. Use Permit or Special Local Need	2008	No	$350 per registered product; $100 for Exp. Use Permit or Special Local Need	General Inspection Trust Fund
Analyze Pesticide Samples	Pesticide Sample Analysis Fee	487.071(7)(b)	$400 per test	1993	(Authorized, not implemented)	none	General Inspection Trust Fund
Regulate Pesticide Products	Supplemental Registration Fee	487.041(3)	$315 per applicable product	2009	Yes	$315	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2015-16**
Program: 42160100 Seed Regulation
Fund(s): 1000, 2321 General Revenue, General Inspection Trust Fund

Specific Authority: 578.08(1), 578.11, 578.26(1)
Purpose of Fees Collected: To ensure that Florida consumers receive seed products that conform to the Commercial Seed Law and to provide uniform regulation to seed producers and distributors.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014 - 15		ESTIMATED FY 2015- 16		REQUEST FY 2016- 17	
Receipts:	GR	GITF	GR	GITF	GR	GITF
Seed Licenses		1,122,113		1,122,113		1,122,113
Seed Complaint Filing Fee		100		300		300
Misc. - Other		829		1,095		1,095
Refunds		0		3,955		3,955
Penalties		0		140		140
Total Fee Collection to Line (A) - Section III	-	1,123,042	-	1,127,603	-	1,127,603

SECTION II - FULL COSTS

	ACTUAL FY 2014 - 15		ESTIMATED FY 2015- 16		REQUEST FY 2016- 17	
Direct Costs:	GR	GITF	GR	GITF	GR	GITF
Salaries and Benefits		423,003		527,291		527,291
HR Assessment		1,870		1,913		1,913
Contracted Services		1,768		-		-
Expenses		29,312		32,798		32,798
Operating Capital Outlay						
Data Processing			-	-	-	-
General Revenue S/C		89,955		89,955		89,955
Field Inspection		227,103		226,067		226,067
Refunds						
Indirect Costs Charged to Trust Fund	3,815	44,636	3,849	38,884	3,849	38,884
Total Full Costs to Line (B) - Section III	3,815	817,647	3,849	916,908	3,849	916,908

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		ACTUAL FY 2014 - 15		ESTIMATED FY 2015- 16		REQUEST FY 2016- 17	
		GR	GITF	GR	GITF	GR	GITF
TOTAL SECTION I	(A)	-	1,123,042		1,127,603		1,127,603
TOTAL SECTION II	(B)	3,815	817,647	3,849	916,908	3,849	916,908
TOTAL - Surplus/Deficit	(C)	(3,815)	305,395	(3,849)	210,695	(3,849)	210,695

EXPLANATION of LINE C:
The deficit is covered by the Pesticide Regulation Program.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Seed Regulation

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Division constantly strives for operational efficiency. We have implemented a risk-based inspection strategy. As result of our program, compliance has increased noted by the decreased percentage of samples that were found to be violative over pre-risk based inspections. The results are provided below:

FY	*14/15*	*13-14*	*12-13*	*11-12*	*10-11*
Samples Collected	1633	2034	2408	2893	3171
Number found to be violative	54	132	92	141	171
% Violations	3.3%	6.5%	3.82%	4.9%	5.39%

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   A web-based Laboratory Information Management System (LIMS) has been implemented that allows on-line dealer license application and transmission of seed regulatory information. The costs savings associated with this transition have not been estimated at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   The regulation of seeds is essential to the continued, economically viable production of food and fiber. Seed regulation is needed to ensure that seeds purchased by consumers meet established standards for purity, germination and are not contaminated with noxious weed seeds.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The fees charged are set in statute or rule.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Prior to a fee increase adopted by the 2009 Legislature, fees were not adequate to cover the direct and indirect costs of the program. Fees were doubled in 2009, so revenues for FY 12-13 covered most of the direct and indirect costs of the program. Fees for smaller volume seed dealers were reduced in FY 2014.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged are set in statute or rule. Fees are reviewed routinely and are increased when necessary and without undue hardship on the regulated industry.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

The seed program benefits the agricultural industry by ensuring it has access to high quality seed to produce crops of economic value in the state.

The regulation of seeds provides substantial public benefits well in excess of the amount of public funds expended. The 2,407 licensed seed dealers in Florida in FY 14-15 reported $175,668,436.77 in gross receipts. These seeds are the basis for Florida agriculture and backyard Florida's fruit and vegetable production.

Seed regulation includes mediation of disputes between growers and seed producers. In FY 14-15, the Seed Investigation and Conciliation Council conducted two seed complaint hearings. As a result of the Council's investigations, the Council recommended settlements to the growers totaling $196,760 for losses incurred due to seed failing to produce as advertised.

The seed regulatory program performs a vital function in checking for both prohibited and restricted noxious weed seed contamination. For one restricted noxious weed, tropical soda apple, since FY 12-13 a total of 55 lots, totaling 300,850 pounds of Bahiagrass and Aeschynomene seed contaminated with tropical soda apple were identified and stopped from being sold or shipped.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   We believe that a state subsidy for this regulatory program is appropriate since it provides a public benefit.

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Seed Regulation

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No, Ch. 578, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0.46% GR. Revenues exceed GR+GITF costs by 37.4%

If the program is subsidized from other state funds, what is the source(s)? General Revenue and General Inspection Trust Fund

What is the current annual amount of the subsidy? $3,815

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Regulate Seed Companies	Seed Licenses	578.08(1)	No	2014	No	Fees are variable, ranging from $10 to $4,600	General Inspection Trust Fund
Regulate Seed Companies	Complaint Filing Fee	578.26	Yes	1997	No	$100	General Inspection Trust Fund

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF CONSUMER PROTECTION

42160200

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Fair Rides Inspection
Fund: 2321 General Inspection Trust Fund

Specific Authority: 616.242, F.S.
Purpose of Fees Collected: Offset direct and indirect inspection costs.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Fair Rides Permits	758,619	738,141	738,141
Fair Rides Inspection Fees	717,375	737,580	737,580
Administrative Fines	0	15,000	15,000
Penalties	103		
Sale of Surplus Property	1,069		
Copies of Documents	62		
Total Fee Collection to Line (A) - Section III	1,477,228	1,490,721	1,490,721
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	1,118,857	1,180,593	1,180,593
Other Personal Services	646	25,034	25,034
Expenses	243,068	245,113	245,113
Contracted Services	5,364	7,017	7,017
Motor Vehicles-Nonrecurring		97,860	
HR Assessment	7,063	6,742	6,742
Refunds	1,579		
OATS Assessment	33,569	33,600	33,600
General Revenue Service Charge	118,205	119,258	119,258
Indirect Costs charged to Trust Fund	337,969	333,391	333,391
Total Full Costs to Line (B) - Section III	1,866,321	2,048,607	1,950,747

Basic Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	1,477,228	1,490,721	1,490,721
TOTAL SECTION II	(B)	1,866,321	2,048,607	1,950,747
TOTAL - Surplus/Deficit	(C)	(389,093)	(557,886)	(460,026)

EXPLANATION of LINE C:

The deficit in this program area is covered by the overall Department cash balances in the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Bureau of Fair Rides Inspection

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   During FY 14/15, the Bureau replaced a full time OPS Senior Word Processing Systems operator with a part time (20 hours per week) senior clerk. With this cut the Bureau was still able to maintain interoffice tasks and achieve the customer service the Department strives for.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   At this time, maximum operational efficiency is being maintained to meet statutory requirements with the funding available. Cost effective measures have been put in place for all supply and inventory ordering.

   Office supply orders will be reviewed prior to ordering with every attempt made to use property from the warehouse or to order more cost effective supplies. The projected cost savings of this program is $1,000 per fiscal year.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, the Bureau provides a critical service safeguarding the public with the most comprehensive amusement ride inspection program of any state in the country.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   Fees are based on projections utilizing generally accepted governmental accounting procedures. Projections are based primarily on historic industry growth.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   No, the permit and inspection fees set by statute does not cover both direct and indirect costs of providing this regulatory service.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   Yes, amusement rides are differentiated into three types of rides, and charged fees are commensurate with the complexity and the time needed to complete the inspection. Re-inspection fees are assessed when violations are found during the initial inspection. Weekend and holiday fees are also assessed to the companies who cannot schedule inspections during normal work hours.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   The fees charged for this regulatory service and oversight is set by statute. Raising fees to sufficiently cover program costs would require so high an assessment that the carnival industry would be compelled to reduce either the number of events played in Florida, or the number of devices played at each event, or both. These reductions would in turn affect the estimates of revenue

which FDACS has employed for the purpose of establishing an amusement ride inspection fee structure. In addition, a reduction or elimination of participation at festivals, carnivals and fairs by the carnival companies would ultimately impact the fair associations, churches and civic groups as well as charities which benefit financially from the public attendance at such sponsored events which feature rides and attraction as their primary draws.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   The surplus of revenue over expenditures in the General Inspection Trust Fund is an amount sufficient to absorb deficits in the program.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Fair Rides Inspection

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): Yes, 616.242(8)(a), FS

What percent of the regulatory cost is currently subsidized? (0 to 100%) **19**%

If the program is subsidized from other state funds, what is the source(s)? General Inspection Trust Fund

What is the current annual amount of the subsidy? $ **$361,144.77**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Amusement Ride Inspection	Kiddie Amusement Ride	616.242	$35	2001	Yes	$35	General Inspection Trust Fund
	Non-Kiddie Amusement Ride	616.242	$70	2001	Yes	$70	General Inspection Trust Fund
	Super Ride	616.242	$140	2001	Yes	$140	General Inspection Trust Fund
	Reinspection	616.242	$500	2005	Yes	$500	General Inspection Trust Fund
	Late Notice Inspection	616.242	$100	1997	Yes	$100	General Inspection Trust Fund
	Failure to Cancel Inspection	616.242	$100	1997	Yes	$100	General Inspection Trust Fund
	Go Kart Vehicle Inspection	616.242	$7	2005	Yes	$7	General Inspection Trust Fund
	Ride Permit Fee	616.242	$430	2005	Yes	$430	General Inspection Trust Fund
	Lost USAID Tag	616.242	$100	1993	Yes	$100	General Inspection Trust Fund
	Bungee Permit	616.242	$500	1993	Yes	$500	General Inspection Trust Fund
	Weekend/Holiday Inspection	616.242	$500	2005	Yes	$75	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services
Program: 42160200 Health Studios
Fund(s): 2321 General Inspection Trust Fund

Budget Period: 2016-17

Specific Authority: s. 501.015, F.S.
Purpose of Fees Collected: To provide regulation and oversight to the Health Studio Industry in the State of Florida.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:	GITF	GITF	GITF
Registration Fees	736,435	690,612	690,612
Administrative Fines	161,779	100,000	100,000
Total Fee Collection to Line (A) - Section III	898,214	790,612	790,612

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	91,770	89,821	89,821
Other Personal Services	3,157	3,443	3,443
Expenses	15,785	9,240	9,240
Contracted Services	2,403	1,026	1,026
HR Assessment	606	552	552
Refunds	4,700		
OATS Assessment	2,748	2,501	2,501
General Revenue S/C	66,817	63,249	63,249
Indirect Costs Charged to Trust Fund	27,957	25,276	25,276
Total Full Costs to Line (B) - Section III	215,943	195,109	195,109

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY

TOTAL SECTION I	(A)	898,214	790,612	790,612
TOTAL SECTION II	(B)	215,943	195,109	195,109
TOTAL - Surplus/Deficit	(C)	682,271	595,503	595,503

EXPLANATION of LINE C:

The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Health Studios

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all the costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fee charged for the regulatory service and oversight are set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Health Studios

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 501.015, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Health Studios	Registration fee	s. 501.015	$300 annually set by statute	1993	No	$300	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Intrastate Moving Companies
Fund(s): 2321 General Inspection Trust Fund

Specific Authority: s. 507.03, F.S.
Purpose of Fees Collected: To provide regulation and oversight to the Intrastate Moving Industry in the State of Florida.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014 -15**	**ESTIMATED FY 2015 - 16**	**REQUEST FY 2016 - 17**
Receipts:	GITF	GITF	GITF
Registration Fees	357,850	315,808	315,808
Administrative Fines	95,160	55,000	55,000
Total Fee Collection to Line (A) - Section III	453,010	370,808	370,808
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	67,060	69,931	69,931
Other Personal Services	1,854	2,272	2,272
Expenses	16,903	7,009	7,009
Contracted Services	1,759	961	961
HR Assessment	439	424	424
Refunds	50		
OATS Assessment	2,108	1,907	1,907
General Revenue S/C	32,700	29,665	29,665
Indirect Costs Charged to Trust Fund	20,351	19,561	19,561
Total Full Costs to Line (B) - Section III	143,224	131,730	131,730

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	453,010	370,808	370,808
TOTAL SECTION II	(B)	143,224	131,730	131,730
TOTAL - Surplus/Deficit	(C)	309,786	239,078	239,078

EXPLANATION of LINE C:
The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Intrastate Moving Companies

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the

types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

The fee charged for the regulatory service and oversight is set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all of the program’s cost.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Intrastate Moving Companies

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 507.03, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

.	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Intrastate Moving Companies	Registration fee	s. 507.03	$300 annually set by statute	2002	No	$300	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 LP Gas Inspection
Fund: 2321 General Inspection Trust Fund

Specific Authority: Chapter 527, F.S.
Purpose of Fees Collected: Regulatory oversight of the liquefied petroleum gas industry, including licensing, examination, inspection, investigation and training.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014 - 15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
LP Gas Exam Fees	25,860	21,198	21,198
Duplicate License-Qualifier	3,935	4,420	4,420
Fees-Registration and Training	12,240	16,513	16,513
Fees-Truck Registration	6,250	12,733	12,733
Fees-Site Plan	33,985	28,955	28,955
Fees-Transfer of LPG licenses	3,120	2,733	2,733
LP Gas Registration	1,557,565	1,792,353	1,792,353
Reimb law, rules & regulation handbooks	194	0	0
Administrative Fines	-	57,000	57,000
Copies, Penalties and Reimbursements	1,442		
Total Fee Collection to Line (A) - Section III	1,644,591	1,935,905	1,935,905
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	1,050,856	1,216,630	1,216,630
Other Personal Services	15,402	15,622	15,622
Expenses	113,354	102,644	102,644
Contracted Services	10,869	16,322	16,322
HR Assessment	6,624	7,037	7,037
Refunds	11,605		
Non state refunds	342		
OATS Assessment	44,212	43,265	43,265
General Revenue S/C	269,373	154,872	154,872
Indirect Costs Charged to Trust Fund	317,428	343,585	343,585
Total Full Costs to Line (B) - Section III	1,840,065	1,899,978	1,899,978

Basic Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	1,644,591	1,935,905	1,935,905
TOTAL SECTION II	(B)	1,840,065	1,899,978	1,899,978
TOTAL - Surplus/Deficit	(C)	(195,475)	35,927	35,927

EXPLANATION of LINE C:
The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Bureau of Standards-Liquefied Petroleum Gas Inspection

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Bureau of Liquefied Petroleum (LP) gas Inspection was dissolved and the Bureau was split into three sections and merged with three other bureaus. The Bureau of Standards assumed the inspection work, the Bureau of Compliance assumed the licensing and training sections and the Bureau of Mediation and Enforcement assumed the enforcement section. With the dissolution of the bureau chief, salary cost were reduced by over $36,000 as that FTE was reclassed from a Bureau Chief to a regulatory consultant in the Bureau of Mediation and Enforcement.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The Bureau of Standards is looking to reduce the number of inspectors entering businesses by having petroleum inspectors conduct cylinder exchange cage inspections at gas stations; scale inspectors conduct cylinder exchange cage inspections at grocery and other retail stores with scales; LP gas inspections conduct scale and meter inspections for LP gas equipment; and LP gas inspectors conduct price verification inspections at locations with commodities for sale in addition to LP gas equipment.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, these regulatory activities are mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally

accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fee charged for the regulatory service and oversight are set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: LP Gas Inspection

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Liquefied Petroleum Gas	Manufacturer of LP Gas Appliances & Equip	527.02, FS	$525	1990	No	$525	General Inspection Trust Fund
	Category III LP Gas Cylinder Exchange Unit Operator	527.02, FS	$100	2000	No	$100	General Inspection Trust Fund
	Installer E	527.02, FS	$300	1990	No	$300	General Inspection Trust Fund
	Installer B	527.02, FS	$300	1990	No	$300	General Inspection Trust Fund
	Installer C	527.02, FS	$300	1990	No	$300	General Inspection Trust Fund
	Requalification of Cylinders	527.02, FS	$525	1990	No	$525	General Inspection Trust Fund
	Fabrication, Repair & Testing of Vehicles & Cargo Tanks	527.02, FS	$525	1990	No	$525	General Inspection Trust Fund
	Category I LP Gas Dealer	527.02, FS	$525	1990	No	$525	General Inspection Trust Fund
	Dealer in Appliances & Equipment for use of LP Gas	527.02, FS	$50	1990	No	$50	General Inspection Trust Fund
	Installer D	527.02, FS	$300	1990	No	$300	General Inspection Trust Fund
	Category II LP Gas Dispensing Unit	527.02, FS	$525	1990	No	$525	General Inspection Trust Fund
	Category IV LP Gas Dispenser & RV Servicer	527.02, FS	$525	2000	No	$525	General Inspection Trust Fund
	Category V LP Gas Dealer in Industrial Gases Only	527.02, FS	$300	2003	No	$300	General Inspection Trust Fund
	Installer A	527.02, FS	$300	1990	No	$300	General Inspection Trust Fund
	Pipeline System Operator	527.02, FS	$400	1992	No	$400	General Inspection Trust Fund
	Duplicate License or Qualifier Card	527.0201, FS	$10	1993	No	$10	General Inspection Trust Fund
	LP Gas Examination Filing Fee-Qualifier	527.0201, FS	$20	1990	No	$20	General Inspection Trust Fund

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: LP Gas Inspection

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
	LP Gas Examination Filing Fee- Master Qualifier	527.0201, FS	$30	2000	No	$30	General Inspection Trust Fund
	Truck Registration Fee	527.021, FS	$50	1992	No	$50	General Inspection Trust Fund
	Site Plan Fee	527.0605, FS	$200	1992	No	$200	General Inspection Trust Fund
	Qualifier Renewal	527.0201, FS	$20	2000	No	$20	General Inspection Trust Fund
	Master Qualifier Renewal	527.0201, FS	$30	2000	No	$30	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Motor Vehicle Repair Shops
Fund(s): 2321 General Inspection Trust Fund

Specific Authority: s. 559.904, F.S.
Purpose of Fees Collected: To provide regulation and oversight to the Motor Vehicle Repair Industry in the State of Florida.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014- 15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:	GITF	GITF	GITF
Registration Fees	1,154,759	1,153,652	1,153,652
Penalties-Late Filing	38,775	21,459	21,459
Administrative Fines	267,829	208,000	208,000
Total Fee Collection to Line (A) - Section III	1,461,363	1,383,111	1,383,111
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	448,513	442,487	442,487
Other Personal Services	15,061	16,628	16,628
Expenses	81,524	45,370	45,370
Contracted Services	11,747	5,189	5,189
HR Assessment	2,960	2,716	2,716
Refunds	24,630		
Non state Refunds	600		
OATS Assessment	13,511	12,287	12,287
General Revenue S/C	111,955	110,649	110,649
Indirect Costs Charged to Trust Fund	136,570	124,423	124,423
Total Full Costs to Line (B) - Section III	847,071	759,749	759,749

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	1,461,363	1,383,111	1,383,111
TOTAL SECTION II	(B)	847,071	759,749	759,749
TOTAL - Surplus/Deficit	(C)	614,292	623,362	623,362

EXPLANATION of LINE C:

The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Motor Vehicle Repair Shops

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training, streamlining administrative processes, and making online renewal available to consumers. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fee charged for the regulatory service and oversight are set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Motor Vehicle Repair Shops

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 559.904, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? $ N/A

	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Motor Vehicle Repair Shops	Registration fee	s. 559.904	The following annual fees are set by statute: $50 for shops with 1-5 employees; $150 for shops with 6-10 employees; and $300 for shops with 11 or more employees	In 1997, fee for small shops performing only minor repairs was amended to $50. Other fees last revised in 1991.	No	$50 for shops with 1-5 employees; $150 for shops with 6-10 employees; and $300 for shops with 11 or more employees	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Sellers of Business Opportunities
Fund(s): 2321 General Inspection Trust Fund

Specific Authority: s. 559.805, F.S.
Purpose of Fees Collected: To process franchise exemptions to the Sellers of Business Opportunities Industry in the State of Florida.

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

	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.)
X	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:	GITF	GITF	GITF
Franchise Exemption Fee	233,650	224,305	224,305
Total Fee Collection to Line (A) - Section III	233,650	224,305	224,305
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	61,278	57,458	57,458
Other Personal Services	2,373	2,442	2,442
Expenses	7,393	6,020	6,020
Contracted Services	1,603	562	562
HR Assessment	407	357	357
Refunds	1,125		
OATS Assessment	1,776	1,623	1,623
General Revenue S/C	18,692	17,944	17,944
Indirect Costs Charged to Trust Fund	18,714	16,239	16,239
Total Full Costs to Line (B) - Section III	113,361	102,644	102,644

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	233,650	224,305	224,305
TOTAL SECTION II	(B)	113,361	102,644	102,644
TOTAL - Surplus/Deficit	(C)	120,289	121,661	121,661

EXPLANATION of LINE C:
The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Game Promotions
Fund(s): 2321 General Inspection Trust Fund

Specific Authority: s. 849.094, F.S.
Purpose of Fees Collected: To process game promotion filings for game promotion operators in the State of Florida.

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

	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.)
X	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:	GITF	GITF	GITF
Fees-Game Promotion Filings	363,850	389,017	389,017
Administrative Fines	297,383	286,000	286,000
Total Fee Collection to Line (A) - Section III	661,233	675,017	675,017
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	110,304	105,475	105,475
Other Personal Services	4,057	4,279	4,279
Expenses	15,867	10,958	10,958
Contracted Services	2,887	1,112	1,112
HR Assessment	731	652	652
Refunds	1,400		
OATS Assessment	3,245	2,959	2,959
General Revenue S/C	51,968	54,001	54,001
Indirect Costs Charged to Trust Fund	33,648	29,750	29,750
Total Full Costs to Line (B) - Section III	224,107	209,188	209,188

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	661,233	675,017	675,017
TOTAL SECTION II	(B)	224,107	209,188	209,188
TOTAL - Surplus/Deficit	(C)	437,126	465,829	465,829

EXPLANATION of LINE C:
The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Pawn Shops
Fund(s): 2321 General Inspection Trust Fund

Specific Authority: s. 539.001, F.S.
Purpose of Fees Collected: To provide regulation and oversight to the Pawn Shop Industry in the State of Florida.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:	GITF	GITF	GITF
Registration Fees	424,699	439,117	439,117
Background Checks	44,236	31,021	31,021
Administrative Fines	96,668	88,438	88,438
Total Fee Collection to Line (A) - Section III	565,603	558,576	558,576
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	36,368	33,924	33,924
Other Personal Services	1,427	1,459	1,459
Expenses	4,166	3,562	3,562
Contracted Servcies	951	325	325
HR Assessment	242	211	211
Refunds	2,336		
OATS Assessment	1,050	960	960
General Revenue S/C	44,455	44,686	44,686
Indirect Costs Charged to Trust Fund	11,110	9,593	9,593
Total Full Costs to Line (B) - Section III	102,105	94,719	94,719

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	565,603	558,576	558,576
TOTAL SECTION II	(B)	102,105	94,719	94,719
TOTAL - Surplus/Deficit	(C)	463,498	463,857	463,857

EXPLANATION of LINE C:

The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Pawn Shops

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Pawn Shops

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 539.001, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Pawn Shops	License fee	s. 539.001	$300 annually set by statute	1996	Yes	$300	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services
Program: 42160200 Professional Surveyors and Mappers
Fund(s): 2321 General Inspection Trust Fund

Budget Period: 2016-17

Specific Authority: s.472.011, s.472.0365, s.472.018, s. 472.023, s. 472.0345 F.S.
Purpose of Fees Collected: To provide regulation and oversight to Professional Surveyors and Mappers

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014 - 15**	**ESTIMATED FY 2015 - 16**	**REQUEST FY 2016 - 17**
Receipts:	GITF	GITF	GITF
Fees-Unlicensed Activity	24,990	16,673	16,673
Fees-CE Provider Fee	7,350	6,098	6,098
Duplicate Name/ Status Change	970	1,265	1,265
Fee Examiniation Application Fee	3,625	4,583	4,583
Special Assessments (2011-2012)	100		
Initial License Fee	25,165	25,372	25,372
Renewal License Fee	632,910	316,455	316,455
Business License Fee	350,285	175,143	175,143
Cititations-Unlicensed	500		
Delinquent Charge	1,500		
Administrative Fines	44,105	45,000	45,000
Copies	51		
Total Fee Collection to Line (A) - Section III	1,091,551	590,589	590,589
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	278,914	334,464	334,464
Other Personal Services	18,959		
Expenses	63,928	63,000	63,000
Contracted Services	33,645	20,000	20,000
HR Assessment	1,854	1,283	1,283
Refunds	1,370		
OATS Assessment	9,698	9,699	9,699
General Revenue S/C	87,107	47,247	47,247
Indirect Costs Charged to Trust Fund	84,251	94,453	94,453
Total Full Costs to Line (B) - Section III	579,726	570,146	570,146

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,091,551	590,589	590,589
TOTAL SECTION II	(B)	579,726	570,146	570,146
TOTAL - Surplus/Deficit	(C)	511,825	20,443	20,443

EXPLANATION of LINE C:

The surplus of revenue over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Professional Surveyors and Mappers

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Yes, but not on an annual basis. The license renewal fee is valid for a two year period. Two year license renewals were issued in FY 12-13 and will be issued again in FY 14-15.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fee charged for the regulatory service and oversight is set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs in a two year period.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Professional Surveyors and Mappers

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.) Yes, s. 472.011, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Land Surveying and Mapping	Examination Fee	s.472.011	$120	2012	Yes	$120	General Inspection Trust Fund
	Unlicensed Activity Fee	s.472.0365	$5	1993	Yes	$5	General Inspection Trust Fund
	Licensure by Endorsement Application Fee	s.472.011	$200	1993	Yes	$125	General Inspection Trust Fund
	Voluntary Inactive Renewal Fee	s.472.011	$150	1993	Yes	$100	General Inspection Trust Fund
	Continuing Education Provider Fees	s.472.018	$500	1993	Yes	$450 Initial $250 Renewal	General Inspection Trust Fund
	Temporary Certificate Fee	s.472.023	$100 Individual $200 Business	1993	Yes	$25	General Inspection Trust Fund
	Temporary Certificate of Authorization Fee	s.472.023	$100 Individual $200 Business	1993	Yes	$50	General Inspection Trust Fund
	Duplicate Name/Status Change Fee	s.472.011		1993	Yes	$20	General Inspection Trust Fund
	Application Fee	s.472.011	$125	1993	Yes	$125	General Inspection Trust Fund
	Initial License Fee	s.472.011	$200	1993	Yes	$125	General Inspection Trust Fund
	Renewal License Fee	s.472.011	$500	1993	Yes	$250 biennium non-business $350 biennium business	General Inspection Trust Fund
	Business License Fee	s.472.011		1993	Yes	$125	General Inspection Trust Fund

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Professional Surveyors and Mappers

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.) Yes, s. 472.011, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
	License Reactivation Fee	s.472.011	$150	1993	Yes	$50	General Inspection Trust Fund
	Citations	s.472.0345	$5,000	1993	Yes	No less than $500 and no more than $5000	General Inspection Trust Fund
	Citations-Unlicensed	s.472.036	$5,000	1993	Yes	No less than $500 and no more than $5000	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services
Program: 42160200 Sellers of Travel
Fund(s): 2321 General Inspection Trust Fund

Budget Period: 2016-17

Specific Authority: s. 559.928, F.S.
Purpose of Fees Collected: To provide regulation and oversight to the Sellers of Travel Industry in the State of Florida.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:	GITF	GITF	GITF
Initial Fee	186,715	158,872	158,872
Renewal Fee	575,900	529,300	529,300
DOC Submission Fee	500		
Travel Independent Agents	336,000	239,133	239,133
Administrative Fines	150,615	60,000	60,000
Total Fee Collection to Line (A) - Section III	1,249,730	987,305	987,305
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	292,390	282,800	282,800
Other Personal Services	10,415	11,161	11,161
Expenses	46,071	29,239	29,239
Contracted Services	7,654	3,104	3,104
HR Assessment	1,935	1,744	1,744
Refunds	2,950		
OATS Assessment	8,676	7,904	7,904
General Revenue S/C	92,599	78,984	78,984
Indirect Costs Charged to Trust Fund	89,135	79,676	79,676
Total Full Costs to Line (B) - Section III	551,825	494,613	494,613

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	1,249,730	987,305	987,305
TOTAL SECTION II	(B)	551,825	494,613	494,613
TOTAL - Surplus/Deficit	(C)	697,905	492,692	492,692

EXPLANATION of LINE C:

The surplus of revenues over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Sellers of Travel

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged for the regulatory service and oversight are set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Sellers of Travel

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 559.928, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Sellers of Travel	Registration fee	s. 559.928	$300 annually set by statute	1991	No	$300	General Inspection Trust Fund
	Document Submission Fee	s. 559.9295(16)	$100	1991	No	$100	General Inspection Trust Fund
	Travel Independent Agents	s.559.928(3)	$50	2010	No	$50	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Solicitation of Contributions
Fund: General Revenue, General Inspection Trust Fund

Specific Authority: s.496.406,496.409 and 496.410, F.S.
Purpose of Fees Collected: To provide regualtion and oversight to the Solication of Contributions Industry in the State of Florida

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**		**ESTIMATED FY 2015-16**		**REQUEST FY 2016-17**	
Receipts:	GR	GITF	GR	GITF	GR	GITF
Registration Fees		2,946,253		2,814,187		2,814,187
Penalties-Late Filing Fee		70,193		92,577		92,577
Administrative Fines		230,024		130,000		130,000
Total Fee Collection to Line (A) - Section III	-	3,246,470	-	3,036,764	-	3,036,764

SECTION II - FULL COSTS						
Direct Costs:						
Salaries and Benefits	46,457	644,666	48,908	612,402	48,908	612,402
Other Personal Services		24,134		25,240		25,240
Expenses	9,855	87,683	6,261	63,804	6,261	63,804
Contracted Services	158,100	16,867		6,298		6,298
HR Assessment	344	4,276	344	3,791	344	3,791
Refunds		94,348				
Non State Refunds	-	5,355				
OATS Assessment		18,872		17,220		17,220
General Revenue S/C		233,384		242,941		242,941
Indirect Costs charged to Trust Fund		196,728	-	172,847	-	172,847
Total Full Costs to Line (B) - Section III	214,756	1,326,313	55,513	1,144,543	55,513	1,144,543

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY							
TOTAL SECTION I	(A)	-	3,246,470	-	3,036,764	-	3,036,764
TOTAL SECTION II	(B)	214,756	1,326,313	55,513	1,144,543	55,513	1,144,543
TOTAL - Surplus/Deficit	(C)	(214,756)	1,920,157	(55,513)	1,892,221	(55,513)	1,892,221

EXPLANATION of LINE C:

The deficit in the GR portion of this program uses the surplus of revenues over expenditures in the GITF portion of this program to defray costs. The remaining surplus of revenue over expenditures in the GITF portion of this program is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Solicitation of Contributions

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged for the regulatory service and oversight is set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Solicitation of Contributions

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 496.405, 496.409 and 496.410, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Solicitation of Contributions	Registration fee	ss. 496.405, 496.409 and 496.410	The following annual fees are set by statute for charitable organizations and sponsors: $10 if contributions received from the public during the immediately preceding fiscal year by such organization or sponsor are no more than $25,000 and the fundraising activites of such organization or sponsor are carried on by volunteers, members, officers, or permanent employees, who are not compensated, primarliy to solicit such contributions, provided no part of the assests or income of such organization or sponsor inures to the benefit of or is paid to any officer or member of such organization or sponsor or to any professional fundraising consultant, professional solicitor, or commercial co-venturer; $75 if contributions more than $5,000 and less than $100,000; $125 if contributions more than $100,000 and less than $200,000; $200 if more than $200,000 and less than $500,000; $300 if more than $500,000 and less than $1 million; $350 if more than $1 million and less than $10 million; and $400 if $10 million or more. Fees for professional solicitors or professional fundraising consultants are $300 per year.	2013	No	The following annual fees are set by statute for charitable organizations and sponsors: $10 if contributions received from the public during the immediately preceding fiscal year by such organization or sponsor are no more than $25,000 and the fundraising activites of such organization or sponsor are carried on by volunteers, members, officers, or permanent employees, who are not compensated, primarliy to solicit such contributions, provided no part of the assests or income of such organization or sponsor inures to the benefit of or is paid to any officer or member of such organization or sponsor or to any professional fundraising consultant, professional solicitor, or commercial co-venturer; $75 if contributions more than $5,000 and less than $100,000; $125 if contributions more than $100,000 and less than $200,000; $200 if more than $200,000 and less than $500,000; $300 if more than $500,000 and less than $1 million; $350 if more than $1 million and less than $10 million; and $400 if $10 million or more. Fees for professional solicitors or professional fundraising consultants are $300 per year.	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Standards (Petroleum Inspection and Weights & Measures Inspection)
Fund: 2321 General Inspection Trust Fund

Specific Authority: 525.09, F.S.; 526.51, F.S.; 501.913, F.S, 531, F.S.
Purpose of Fees Collected: To defray the expenses incident to inspecting, testing, and analyzing petroleum fuels and vehicular fluids in this state and issue permits fees for scales and weighing devices and metrology calibration services

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Fees-Petroleum Products	57,423		
Transfers from DOR	9,067,026	9,078,915	9,078,915
Antifreeze Registration Fees	127,800	111,167	111,167
Brake Fluid Fluid Permits	14,475	18,950	18,950
Metrology Fees	37,786	44,396	44,396
Sale of Surplus property-DMS sale	5,173		
Interest	527,508	469,654	469,654
Late Penalty-Brake Fluid Renewal	125		
Other Penalties	110		
Sale of Port Everglades Lab	3,712,872		
Insurance Recoveries	1,600		
Weights and Measures Permit fees	2,223,978	2,208,495	2,208,495
Administrative Fines	-	156,000	156,000
Refunds and Reimbursements	4,421		
Total Fee Collection to Line (A) - Section III	15,780,297	12,087,577	12,087,577
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	5,173,437	6,039,674	6,039,674
Other Personal Services	30,945	70,065	70,065
Expenses	1,381,180	1,436,974	1,436,974
Contracted Services	180,620	128,867	128,867
Operating Capital Outlay	370,644	72,437	72,437
Refunds	6,600		
HR Assessment	32,877	39,969	39,969
OATS Assessment	254,839	268,826	268,826
Assesment on Investments	39,716		
General Revenue Service Charge	1,130,922	1,055,294	1,055,294
Indirect Costs charged to Trust Fund	1,562,721	1,704,376	1,704,376
Total Full Costs to Line (B) - Section III	10,164,501	10,816,483	10,816,483
Basis Used:	Indirect costs based on percentage of total salary dollars of programs		
SECTION III - SUMMARY			
TOTAL SECTION I (A)	15,780,297	12,087,577	12,087,577
TOTAL SECTION II (B)	10,164,501	10,816,483	10,816,483
TOTAL - Surplus/Deficit (C)	5,615,796	1,271,094	1,271,094

EXPLANATION of LINE C:

The Bureau of Standards currently generates revenues through inspection, permit fees, and registration fees to offset program expenses. The sale of petroleum fuel fluctuates from year to year and the current fee plan (a single fee rate assessed per gallon of specific petroleum fuels sold in Florida) is believed to be the best overall approach. The fee covers the associated expenses for the many different services our programs are responsible for, such as the handling and investigation of consumer complaints, the analysis of petroleum samples and the inspection of wholesale and retail dispensing devices, scales and weighing devices, and metrology calibration services. The surplus of revenue over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Standards (Petroleum Inspection and Weights/Measures Inspection)

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Bureau of Liquefied Petroleum (LP) Gas Inspection was split into three sections and merged with three other bureaus. The Bureau of Standards assumed the inspection work, the Bureau of Compliance assumed the licensing and training sections and the Bureau of Mediation and Enforcement assumed the enforcement section. The Bureau of Standards is now working to integrate the inspection program with other inspection program areas.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The Bureau of Standards is looking to reduce the number of inspectors entering businesses by having petroleum inspectors conduct cylinder exchange cage inspections at gas stations; scale inspectors conduct cylinder exchange cage inspections at grocery and other retail stores with scales; LP gas inspections conduct scale and meter inspections for LP gas equipment; and LP gas inspectors conduct price verification inspections at locations with commodities for sale in addition to LP gas equipment.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, these regulatory activities are mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fee charged for the regulatory service and oversight are set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

      Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   N/A

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Standards (Petroleum Inspection and Weights/Measures Inspections)

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? $ N/A

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Petroleum distribution and sales	Inspection Fee	525.09, F.S.	None	1995	No	1/8 cent per gallon gasoline and kerosene (except aviation and #1 fuel oil)	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; 1 - 5 in a single establshment - $60	2009	Yes	$40	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; 6 - 10 in a single establshment - $150	2009	Yes	$125	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; 11 - 30 in a single establshment - $200	2009	Yes	$175	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; More than 30 in a single establshment - $300	2009	Yes	$225	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; 100 - 250 lb. capacity - $200	2009	Yes	$40	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; >250 - 5,000 lb. capacity - $200	2009	Yes	$75	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; >5,000 - 20,000 lb. capacity - $300	2009	Yes	$150	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; Over 20,000 lb capacity - $400	2009	Yes	$200	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Wheel Load Weighers - $35	2009	Yes	$15	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Static Railroad track scales $1,000	2009	Yes	$200	General Inspection Trust Fund

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Standards (Petroleum Inspection and Weights/Measures Inspections)

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? $ N/A

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Bely Conveyor Scales - $500	2009	Yes	$400	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	In Motion Railroad Track Scales - $1,000	2009	Yes	$200	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Mass Flow Meters up to 150 lb/minute - $100	2009	Yes	$100	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42160200 Telemarketing
Fund(s): 2321 General Inspection Trust Fund

Specific Authority: s. 501.605 and 501.607, F.S.
Purpose of Fees Collected: To provide regulation and oversight to the Telemarketing Industry in the State of Florida.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014 - 15**	**ESTIMATED FY 2015 - 16**	**REQUEST FY 2016 - 17**
Receipts:	GITF	GITF	GITF
Licenses-Commercial Telephone Sales	613,560	575,877	575,877
Licenses-Sales Persons	801,815	778,387	778,387
Fees-Change Info-TeleMarketing Licenses	32,820	29,863	29,863
Fees-Telemarketing Solicitor (DNC list)	81,230	84,090	84,090
Administrative Fines	1,042,338	310,000	310,000
Total Fee Collection to Line (A) - Section III	2,571,763	1,778,217	1,778,217

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	435,275	414,052	414,052
Other Personal Services	16,236	17,010	17,010
Expenses	59,904	43,113	43,113
Contracted Services	11,389	4,280	4,280
HR Assessment	2,887	2,562	2,562
Refunds	2,290		
OATS Assessment	12,755	11,638	11,638
General Revenue S/C	147,034	142,257	142,257
Indirect Costs Charged to Trust Fund	132,820	116,849	116,849
Total Full Costs to Line (B) - Section III	820,590	751,760	751,760

Basis Used: Indirect costs based on percentage of total salary dollars by program.

SECTION III - SUMMARY

TOTAL SECTION I	(A)	2,571,763	1,778,217	1,778,217
TOTAL SECTION II	(B)	820,590	751,760	751,760
TOTAL - Surplus/Deficit	(C)	1,751,173	1,026,457	1,026,457

EXPLANATION of LINE C:

The surplus of revenue over expenditures is used to help defray the operating costs for other programs in the Department that are funded by the Legislature from the General Inspection Trust Fund.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Telemarketing

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Services have been improved by implementing cross training and streamlining administrative processes. Due to these improvements we have been able to handle increased registrations and filings without additional personnel.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   E-commerce or electronic filing will be added as budget permits. Cost savings is not determined at this time.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. This regulatory activity is mandated by Florida Statutes, and it is appropriate to provide protection to both the consuming public and the industry being regulated.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Division does not use official estimates by the Revenue Estimating Conference. Our revenue projections are based on actual historical revenues and the statutorily mandated fee structure.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Fees are sufficient to cover all costs.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fee charged for the regulatory service and oversight are set by statute, and applies uniformly to all affected business entities.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Fees currently charged are adequate to cover all costs.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   NA

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Telemarketing

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 501.605 and 501.607, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 0%

If the program is subsidized from other state funds, what is the source(s)? N/A

What is the current annual amount of the subsidy? N/A

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Telemarketing	Commerical Telephone Sellers Licenses	s. 501.605	The following annual fees are set by statute: $1,500	1991	No	$1,500	General Inspection Trust Fund
	Sales Person Licenses	s. 501.607	The following annual fees are set by statute: $50 for telemarketing salespersons	1991	No	$50	General Inspection Trust Fund
	Changes to Information on Telephone Marketing Licenses	s.501.609(2)	The following annual fees are set by statute: $10 for changes to information on telephone marketing licenses	1991	No	$10	General Inspection Trust Fund

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF FRUIT AND VEGETABLES INSPECTION AND ENFORCEMENT

42170100

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Service **Budget Period: 2016-17**
Program: 42170100 Fruit and Vegetable Inspection and Enforcement
Fund: 2093 Citrus Inspection Trust Fund

Specific Authority: 601.28 & 570.481 F.S.
Purpose of Fees Collected: Fees collected to the extent necessary to perform inspection service

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Citrus Inspection Program	8,731,914	9,563,363	8,769,373
License and Bond	11,605	11,000	11,000
Total Fee Collection to Line (A) - Section II	8,743,519	9,574,363	8,780,373
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	3,174,169	3,355,000	3,375,000
Other Personal Services	211,258	275,000	250,000
Expenses	475,156	686,436	465,000
Operating Capital Outlay	20,555	33,000	33,000
Automated Testing Equipment	52,816	208,677	164,287
USDA	4,816,929	4,758,900	4,243,100
Indirect Costs Charged to Trust Fund	-	249,986	249,986
Total Full Costs to Line (B) - Section III	8,750,883	9,566,999	8,780,373

Basis Used: Indirect costs are the allocation from Tallahassee of Administrative costs.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	8,743,519	9,574,363	8,780,373
TOTAL SECTION II	(B)	8,750,883	9,566,999	8,780,373
TOTAL - Surplus/Defici	(C)	(7,364)	7,364	-

EXPLANATION of LINE C:
The deficit of revenues over expenditures in FY2014-15 will be recaptured in the fee for FY2015-16.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Service **Budget Period: 2016-17**
Program: 42170100 Fruit and Vegetable Inspection and Enforcement
Fund: 2321 General Inspection Trust Fund

Specific Authority: 570.481 F.S.
Purpose of Fees Collected: Fees collected to the extent necessary to perform inspection service or based on set fees from USDA

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

	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.)
X	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Vegetable Inspection Program	4,368,790	3,849,182	3,673,667
Total Fee Collection to Line (A) - Section III	4,368,790	3,849,182	3,673,667

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	1,829,531	1,890,000	1,850,000
Other Personal Services	781,342	800,000	800,000
Expenses	1,244,018	848,779	721,264
Operating Capital Outlay	-	-	
Contracted Services	77,071	47,462	47,462
General Revenue Surcharge	190,269	175,000	167,000
Indirect Costs Charged to Trust Fund	87,941	87,941	87,941
Total Full Costs to Line (B) - Section III	4,210,172	3,849,182	3,673,667

Basis Used: Indirect costs are the allocation from Tallahassee of Administrative costs.

SECTION III - SUMMARY

TOTAL SECTION I	(A)	4,368,790	3,849,182	3,673,667
TOTAL SECTION II	(B)	4,210,172	3,849,182	3,673,667
TOTAL - Surplus/Deficit	(C)	158,618	-	-

EXPLANATION of LINE C:

Large FS Peanut crop (252,500 tons, up 24.2% over prior year) resulted in excess revenues over expenditures even with the fee reduction of $1.20 per ton.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions Program: Fruit and Vegetable Inspection and Enforcement

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?
   The division implemented a much more robust training process for Farmers' Stock Peanuts inspection program. The additional training gave the inspectors the knowledge necessary to be more proficient in completing inspections, thus improving operations of each facility.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?
   The division is developing an electronic process utilizing mobile tablet technology to facilitate inspections and audits. The initial estimated savings on supplies is offset by the additional licensing fees associated with the software. The benefit to the industry is readily available electronic documents, which should create efficiencies in the marketplace. As inspectors become familiar with the process, there will be some savings in labor hours it takes to prepare and submit the documentation. Another operational efficiency planned is in the Farmer's Stock Peanut Inspection Program. The division is working with the peanut industry to improve the inspection program through advanced hiring practices, expanded training plan with sessions in the classroom and hands-on, and through continuous communication with the industry

3. Is the regulatory activity an appropriate function that the agency should continue at its current level? Yes

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable? Yes

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight? Yes; per statute, the division charges fees necessary to cover expenditures to perform the inspection service.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated?
   For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection? The Federal-State Inspection Service and Terminal Market fees are set by the federal government. The citrus fees are set in accordance with 601 F.S., which requires the fees fully cover the cost of the inspection service.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   Per statute, when revenues from fees are in excess of expenditures, the excess revenues are incorporated into next year's fee as a reduction in fee. Conversely, any deficit of revenue is recovered in the next year as a fee increase.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy. N/A

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Fruit and Vegetable Inspection and Enforcement

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): Yes; F.S. 601.28

What percent of the regulatory cost is currently subsidized? (0 to 100%) **0%**

If the program is subsidized from other state funds, what is the source(s)?

What is the current annual amount of the subsidy? $

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Citrus Inspection Program	Packing House Inspection Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.172	Citrus Inspection TF
	Packing House Partners in Quality (PIQ) Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.01	Citrus Inspection TF
	Customer Assisted Certification Program (CACP) Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0231	Citrus Inspection TF
	CACP Non-eligible Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0271	Citrus Inspection TF
	Fresh Cannery Inspection Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0666	Citrus Inspection TF
	Roadside Stand Inspection Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.03	Citrus Inspection TF
License and Bond	Citrus Agent Registration	570.48; 601.59			No	10	Citrus Inspection TF
	Citrus Fruit Dealers Licenses	570.48; 601.59			No	25	Citrus Inspection TF

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF AGRICULTURAL PRODUCTS MARKETING

42170200

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture & Consumer Service **Budget Period: 2016-17**
Program: 42170200 Agricultural Dealer's Licenses
Fund: 2321 General Inspection Trust Fund

Specific Authority: 534.48; 535.05; 604.15-604.34 F.S.
Purpose of Fees Collected: Licensing of agricultural dealers, throughbred horse sales, and livestock markets; processing claims of Florida producers; administrative fines for enforcement of statutory requirements.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2014-15**	**ESTIMATED FY 2015-16**	**REQUEST FY 2016-17**
Receipts:			
Licenses - Ag Dealers	936,353	1,000,000	1,000,000
Licenses - Livestock Markets	600	800	800
Licenses - Thoroughbred Horse Sales	2,100	2,400	2,400
Fees - L&B Complaint Filing Fee	2,100	3,700	3,700
Administrative Fines	63,001	200,000	200,000
Other Refunds	20		
Miscellaneous	47		
Total Fee Collection to Line (A) - Section III	1,004,221	1,206,900	1,206,900
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	850,924	981,567	981,567
Other Personal Services			
Expenses	61,528	65,000	65,000
Operating Capital Outlay	66,417	-	
Contracted Services	4,742	10,000	10,000
HR Assessment	4,567	4,717	4,717
Refunds	11,880	13,000	13,000
OATS Assessment	34,611	35,000	35,000
General Revenue Service Charge	78,512	80,000	80,000
Indirect Costs Charged to Trust Fund	44,599	45,000	45,000
Total Full Costs to Line (B) - Section III	1,157,780	1,234,284	1,234,284

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	1,004,221	1,206,900	1,206,900
TOTAL SECTION II	(B)	1,157,780	1,234,284	1,234,284
TOTAL - Surplus/Deficit	(C)	(153,559)	(27,384)	(27,384)

EXPLANATION of LINE C:

Expenditures in this document represent expenses in the Bureau of Agricultural Dealer's Licenses. The primary objective of the program is to reduce the financial risk of Florida growers in the event an agricultural dealer defaults on payment. The sole source of funding for this program is GITF. Request for FY 16-17 left blank due to move to Consumer Services and Ag Law Enforcement.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions Program: Agricultural Product Dealer's Licenses

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The program has refined processes and continues to look for new ideas to cut operating costs. The program directs businesses to the website to obtain forms and no longer mails forms with renewal notices, reducing the amount of paper consumed. In addition, the program has significantly decreased the number of items mailed that require tracking; all tracked packages are sent UPS, rather than certified mail, improving delivery success.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   Integration into the Division of Consumer Services' DOCS database will improve program efficiency exponentially.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes. The program provides protection for Florida's growers and farmers, a key component of the state's economy.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The maximum license fee is set by statute.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   The license fees collected are sufficient.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   The fees charged are reasonable. The sliding scale fees are based upon the amount of surety supporting the license, which determined by the buying volume of the business. There is no differentiation between business types.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   The fees charged are sufficient. This program provides a valuable protection to one of the largest industries in the state, ensuring that Florida producers who conduct business with properly licensed agricultural dealers are provided security from the possibility of serious economic harm in the event that an agricultural dealer defaults on payment. This security is crucial to the Florida producer due to the perishable nature of agricultural products and the impracticality of recovering those products due to the speed with which they move through commerce.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   The program could significantly reduce costs by implementing a new licensing database program with automation capability, as well as providing an online application process.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: **Agricultural Dealer's Licenses**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **No**

What percent of the regulatory cost is currently subsidized? (0 to 100%) **0%**

If the program is subsidized from other state funds, what is the source(s)? **General Inspection Trust Fund**

What is the current annual amount of the subsidy? $ **N/A**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Agricultural Dealer's	License Fee	604.19	$500	2005	Yes - 5H-1.003	$170; $230; $300	General Inspection TF
	Supplemental Location Fee	604.19	100	2005	Yes - 5H-1.003	100	General Inspection TF
	Delinquent Renewal	604.19	100	2005	Yes - 5H-1.003	100	General Inspection TF
	Complaint Filing Fee	604.21(1)(a)	50	2005	No	50	General Inspection TF
	Administrative Fines	604.30(3)(a)	2,500	2005	No	2,500	General Inspection TF
	Continuing Violation Fine	604.30(3)(b)	$100/day	2005	No	$100/day	General Inspection TF
Livestock Markets	License Fee	534.48	$100	1993	No	$100	General Inspection TF
Thoroughbred Horse Sales	License Fee	535.05	$300	1993	No	$300	General Inspection TF

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF AQUACULTURE

42170300

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42170300 Aquaculture Certification
Fund: 1000, 2321 General Revenue and General Inspection Trust Fund

Specific Authority: 597.004
Purpose of Fees Collected: To fund the Certification Program that regulates Aquaculture farms which produce products for sale to the public.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15		ESTIMATED FY 2015-16		REQUEST FY 2016-17	
Receipts:	GR	GITF	GR	GITF	GR	GITF
Aquaculture Certification Fees		97,800		98,000		98,000
Aquaculture Lease Applications		12,500		16,400		16,400
Refunds		32				
Total Fee Collection to Line (A) - Section II	-	110,332	-	114,400	-	114,400

SECTION II - FULL COSTS

Direct Costs:	GR	GITF	GR	GITF	GR	GITF
Salaries and Benefits	370,684	7,374	378,759	23,251	378,759	23,251
Other Personal Services						
Expenses	19,031		6,520	-	6,520	-
Operating Capital Outlay						
Contracted Services		853	853		853	
HR Assessment	2,484		1,776		1,776	
General Revenue S/C						
Indirect Costs Charged to Trust Fund						
Total Full Costs to Line (B) - Section III	392,200	8,227	387,908	23,251	387,908	23,251

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		GR	GITF	GR	GITF	GR	GITF
TOTAL SECTION I	(A)	-	110,332	-	114,400	-	114,400
TOTAL SECTION II	(B)	392,200	8,227	387,908	23,251	387,908	23,251
TOTAL - Surplus/Deficit	(C)	(392,200)	102,104	(387,908)	91,149	(387,908)	91,149

EXPLANATION of LINE C:

The Division collects a statutory fee for this program. Excess revenues are used to cover the deficit in the Division's Shellfish Processing plant Inspection Program.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture & Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Aquaculture Certification

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Historically aquaculture regulatory on-site compliance visits have been conducted "unannounced." This policy often resulted in visits with no access because of locked gates, locked buildings, watch dogs and other uninvited guest deterrents, in addition to the farmer/managers not being present to accompany staff on facility inspection. Routine compliance site visits are now scheduled in advance, eliminating the need for unnecessary repeat return attempts to inspect a facility.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   Improve planning, scheduling, and coordination to improve staff time efficiencies and effectiveness resulting in increased productivity per FTE, while reducing program cost per visit without having a detrimental impact on service provided to the farmer or the Division's program responsibilities.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, the Legislature established the regulatory function in the Department of Agriculture and Consumer Services, Division of Aquaculture because aquaculture is an agricultural commodity and the Legislature wanted aquaculture to be part of the one-stop regulatory permitting process to eliminate duplication of regulation and agency oversight, and provide a concise, effective, and efficient permitting process for Florida aquaculture farmers.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The Florida Legislature set the original fee in FY 1997-98 and increased (doubled) the fee in FY 2008-09 from $50 to $100.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   No, the number of field staff and the fee is set by the Florida Legislature. Reducing field staff (4 for 1,000 farms that have to be inspected twice a year) would greatly diminish the protection to the state's resources.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   No, the aquaculture certification fees are established in statute and apply equally.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

      The Aquaculture Certification Program benefits the general public by controlling exotic/invasive aquatic species, conserving waters of the state, and protecting, maintaining, and improving water quality for public use by providing that no waste water be discharged from aquaculture farms into any waters of the state without first being given the degree of treatment necessary to protect Florida waters. This program also promotes the utilization of wildlife, fish, and other aquatic life, and provides for domestic, agricultural, industrial, recreational, and other beneficial uses. Raising fees to cover

program costs will put the Florida Aquaculture Industry at a competitive disadvantage in both the National and International marketplace.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   Any reduction of the state subsidy will require the reduction and/or elimination of legislatively directed agency responsibilities which will directly impact all Florida residents and visitors, Florida's wildlife and Florida's natural resources.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Aquaculture Certification

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No and s. 597.004, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 98% General Revenue and 2% General Inspection Trust Fund

If the program is subsidized from other state funds, what is the source(s)? General Revenue and General Inspection Trust Fund

What is the current annual amount of the subsidy? $277,083GR and $7,048 GITF

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Aquaculture	Aquaculture Certification Fees	597.004 F.S.(1)(h)	$100	2008	No	$100	General Inspection Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42170300 Shellfish Processing Plant Inspection
Fund: 1000, 2321 General Revenue and General Inspection Trust Fund

Specific Authority: 597.020
Purpose of Fees Collected: No fees collected.

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

x	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15		ESTIMATED FY 2015-16		REQUEST FY 2016-17	
Receipts:	GR	GITF	GR	GITF	GR	GITF
Penalties						
Total Fee Collection to Line (A) - Section II	-	-	-	-	-	-

SECTION II - FULL COSTS

Direct Costs:	GR	GITF	GR	GITF	GR	GITF
Salaries and Benefits	199,270	70,213	199,270	70,213	199,270	70,213
Other Personal Services						
Expenses	34,625	182	34,625	182	34,625	182
Contracted Services		7,052				
Operating Capital Outlay						
HR Assessment	1,371	395				
Indirect Costs Charged to Trust Fund						
Total Full Costs to Line (B) - Section III	235,266	77,842	233,895	70,395	233,895	70,395

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		GR	GITF	GR	GITF	GR	GITF
TOTAL SECTION I	(A)	-	-	-	-	-	-
TOTAL SECTION II	(B)	235,266	77,842	233,895	70,395	233,895	70,395
TOTAL - Surplus/Deficit	(C)	(235,266)	(77,842)	(233,895)	(70,395)	(233,895)	(70,395)

EXPLANATION of LINE C:

The Division does not collect any fees for this program due to the small number of plants inspected. Excess revenues from the Aquaculture Certification Program are used to cover deficit.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture & Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Shellfish Processing Plant Inspection

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Department recognizes that large operational efficiencies in this program are not feasible since: (1) the required level of inspector standardization, (2) the required level of inspections, and (3) the number of required inspections are prescriptive according to the National Shellfish Sanitation Program.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   Large operational efficiencies in this program are not feasible as stated in #1 above.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, the regulatory activity is an appropriate function and the agency should continue at the current level for this molluscan shellfish public health program. The current regulatory activity and level of regulatory activity is what is required by the National Shellfish Sanitation Program. Should the regulatory activity fall below that prescribed by the National Shellfish Sanitation Program, the safety of Florida-produced and processed molluscan shellfish would be questioned and Florida shellfish would not be allowed to enter interstate commerce.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   No fees are charged for this molluscan shellfish public health program. The shellfish consuming public is the primary beneficiary of safe and wholesome shellfish.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

No fees are charged for this molluscan shellfish public health program. The shellfish consuming public is the primary beneficiary of safe and wholesome shellfish.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   No fees are charged for this molluscan public health program. There is no entity to charge.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   7. b). A reasonable fee cannot be charged to cover a significant part of the cost of the processing plant program. With the number of processors (92), it makes the unit cost approximately $3,400. This fee would devastate this small industry. General Revenue is appropriated because the general public is the primary beneficiary of safe and wholesome shellfish. Consumers enjoy eating molluscan shellfish raw, whole, and alive. Because consumers choose to consume shellfish in this product form (raw), and raw oysters, clams, and mussels can be passive vectors of enteric disease which pose a potential human health hazard, stringent regulations must occur. For these reasons, molluscan shellfish must continue to be regulated to ensure a safe product and to compete with other gulf states funded with other dollars.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   As stated above, there is no reasonable plan to reduce the state General Revenue funding by charging the molluscan shellfish processing industry. Because the consumer enjoys the public health benefits of this regulatory program, General Revenue funding remains the most appropriate revenue source. A possible alternative to General Revenue funding may be legislation to collect a tax at retail and food establishments for each shellfish sold to the consumer. However, such a tax may be burdensome on the Department of Revenue to collect and on food proprietors to implement.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Shellfish Processing Plant Inspection

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) **75**% General Revenue and 25% General Inspection Trust Fund

If the program is subsidized from other state funds, what is the source(s)? GR & GITF

What is the current annual amount of the subsidy? $235,266 GR and $77,842 GITF

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
N/A							

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF ANIMAL PEST AND DISEASE CONTROL

42170500

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42170500 Animal Disease Control
Fund(s): 1000, 2321, 2360 General Revenue, General Inspection Trust Fund and Ag Emergency Eradication Trust Fund
Specific Authority: 534, 534.021, 534.031, 534.041, 534.051, 534.083(1), 585.002(5)
Purpose of Fees Collected: To facilitate the Division's ability to regulate the movement of animals into and within the state to control and or prevent dangerous animal diseases.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014-15			ESTIMATED FY 2015-16			REQUEST FY 2016-17		
Receipts:	GR	GITF	AEETF	GR	GITF	AEETF	GR	GITF	AEETF
Vet Inspection Certificate-Intrastate		44,785			55,000			55,000	
Apply for Approval Quarantine Facility		3,300			2,800			2,800	
Contagious Equine Metritis Service		609,930			560,000			560,000	
Vet Inspection Certificate -Large Interst.		19,175			19,717			19,717	
Vet Inspection Certificate -Equine Interst.		72,858			79,278			79,278	
Vet Inspection Certificate -Small Interst.		42,767			50,000			50,000	
Equine Interstate Passport Card		8,110			7,500			7,500	
Negative EIA Test Verification Card		2,040			3,500			3,500	
Equine Event Extension		7,330			7,500			7,500	
Garbage Feeding Permit		5,900			5,968			5,968	
Transport Animal Carcass Permit		9,600			10,000			10,000	
Brand Certification Renewal		8,475			7,800			7,800	
Fuel Tax and Interest Earnings			218,102			113,813			113,813
Miscellaneous		13,882			22,000			22,000	
Total Fee Collection to Line (A) - Section III	-	848,152	218,102	-	831,063	113,813	-	831,063	113,813

SECTION II - FULL COSTS

Direct Costs:	GR	GITF	AEETF	GR	GITF	AEETF	GR	GITF	AEETF
Salaries and Benefits	2,793,871	120,305	83,857	2,900,000	202,500	80,000	2,900,000	202,500	80,000
Other Personal Services	0			11,866			11,866		
Expenses	190,332	231,437		191,000	200,000		191,000	200,000	
Operating Capital Outlay	6,422	3,500		10,000	-		10,000	-	
Administrative Overhead	812,502	188,063	119,524						
HR Assessment	20,500	2,373		39,658	5,113		39,658	5,113	
Risk Management Insurance		0			103,278			103,278	
Contracted Services		54,786			53,000			53,000	
Data Processing	0	55,460		41,905	55,460		41,905	55,460	
Refunds		85			991			991	
General Revenue S/C		67,606			70,850			70,850	
Total Full Costs to Line (B) - Section III	3,823,627	723,615	203,381	3,194,429	691,192	80,000	3,194,429	691,192	80,000

SECTION III - SUMMARY

		GR	GITF	AEETF	GR	GITF	AEETF	GR	GITF	AEETF
TOTAL SECTION I	(A)	-	848,152	218,102	-	831,063	113,813	-	831,063	113,813
TOTAL SECTION II	(B)	3,823,627	723,615	203,381	3,194,429	691,192	80,000	3,194,429	691,192	80,000
TOTAL - Surplus/Deficit	(C)	(3,823,627)	124,538	14,721	(3,194,429)	139,871	33,813	(3,194,429)	139,871	33,813

EXPLANATION of LINE C:

Expenditures in this document represent expenditures of the Bureau of Animal Disease Control. Our sole regulatory program is housed in this Bureau. The Division receives some federal funding to operate the Bio-safety Level 3 (BSL3) Laboratory at the Bronson Animal Disease Diagnostic Laboratory (BADDL). The lab expenditures also include approximately $48,000 in laboratory testing supplies. The surplus in FY 14/15 was used to facilitate the purchase of lab equipment and supplies for the BADDL.
The primary beneficiaries of animal disease surveillance are the citizens of Florida, ensuring an available and safe food supply and protection from zoonotic diseases, which are diseases that can spread from animal to human, animal industries and the animal population, not the individual animal or animal owner. Without the cooperation of the individual animal owner, an undiagnosed zoonotic and/or foreign animal disease could be introduced into the state and destroy economic segments of the industry (Florida, nationally and internationally), and severely impact public health in the event of a zoonotic disease epidemic. Current fees are reasonable as the objective is to encourage participation in the Division's disease surveillance and animal movement activities.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions
Program: Animal Disease Control

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   The Division of Animal Industry has achieved operational efficiencies through enhanced emergency response capabilities, including enhancing a State Animal Response Team (SART), establishing partnerships with other entities to assist in emergency response efforts and coordinating county emergency response efforts as related to animal issues. Establishing and maintaining a close working relationship with partners in the Department of Health, Fish and Wildlife Commission, and the University of Florida, College of Veterinary Medicine has greatly improved our operational efficiencies and improved services in response to natural disasters such as hurricanes and to outbreaks of Dangerous Transmissible Diseases. These efforts have improved services to the citizens of Florida.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   Operational efficiencies have been implemented in an attempt to meet performance measures with reduced personnel. While some activities were discontinued, some functions were shifted to other employees with resulting increased efficiencies. Any additional budget reductions or further reductions in personnel can be expected to negatively impact on program delivery and reduction in performance measure accomplishment.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

Yes. The primary beneficiaries of animal disease surveillance are the citizens of Florida, ensuring an available and safe food supply and protection from zoonotic diseases (diseases that can spread from animal to human), animal industries and the animal population, not the individual animal or animal owner. The Division of Animal Industry has experienced significant reduction in staff over the past 5 years as our programs have evolved. Our responsibilities have been expanded to include enhanced Emergency Response, including establishing a State Animal Response Team (SART), establishing partnerships with other entities to assist in emergency response efforts and coordinating

county emergency response efforts as related to animal issues, responsibility for the Emergency Support Function (ESF)-17 at the State Emergency Operations Center (SEOC), increased assistance on animal cruelty/abuse investigations and significantly increased management of cooperative agreements and grants from a variety of federal entities. In addition, responsibilities for enhanced animal disease surveillance and monitoring of animals introduced into the state that pose a risk of introducing diseases such as avian influenza, chronic wasting disease, contagious equine metritis, Equine Herpes Virus 1 (EHV-1), and piroplasmosis have increased significantly. These issues are all tied to our regulatory service, Introduction of Animals into the State, for the prevention, control, and eradication of Dangerous Transmissible Diseases of Animals. Therefore, the continuation of all funding sources, including General Revenue, is justified due to the critical animal and public health benefit.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   No. Fees charged are set and capped by statute and/or rule. As disease surveillance is our primary objective, it is incumbent on the Division to maintain fees at a reasonable level to encourage citizens, livestock owners, veterinarians, etc. to continue to participate in our surveillance activities. This surveillance for Dangerous Transmissible Diseases generally does not benefit the individual animal owner, but enables regulatory controls to be implemented to prevent the spread of disease.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   No. Fees charged are set and capped by statute and/or rule and the Legislature and past Governors have seen this program as one that protects the general public and has appropriated mostly General Revenue to continue its functions. As disease surveillance and control are our primary objectives, it is incumbent on the Division to maintain fees at a reasonable level to encourage citizens, livestock owners, veterinarians, etc. to continue to participate in our surveillance activities. The primary beneficiaries of animal disease surveillance are the citizens of Florida (ensuring an available and safe food supply and protection from zoonotic diseases – diseases that can spread from animal to human), animal industries and the animal population, not the individual animal or animal owner. Without the cooperation of the individual animal owner, an undiagnosed zoonotic and/or foreign animal disease could be introduced into the state and destroy economic segments of the industry (Florida, nationally and internationally), and severely impact animal and public health in the event of a zoonotic disease epidemic. As an example, because of worldwide concerns related to avian influenza in birds

and people, our Division greatly expanded laboratory testing of domestic birds and wild birds. This was part of a nationwide and international effort to carry out surveillance for this very serious animal and public health threat.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   Current fees are reasonable as the objective is to encourage participation in the Division's disease surveillance and animal movement activities. A survey of the state of Louisiana, Alabama and Georgia Animal Health Divisions revealed they are dependent upon General Revenue with the only regulatory fee of $25 being charged by Alabama for the licensing of livestock markets/haulers. We are revising Chapter 5C-13, State Diagnostic Laboratories schedule of testing fees, to delete obsolete tests/fees and add new testing capabilities with their associated fees.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   The primary beneficiaries of animal disease surveillance and control are the citizens of Florida, ensuring an available and safe food supply and protection from zoonotic diseases (diseases that can spread from animal to human), animal industries and the animal population, not the individual animal or animal owner.

The Division of Animal Industry has experienced significant reduction in staff over the past 5 years as our programs have evolved. Our responsibilities have been expanded to include enhanced Emergency Response, including establishing a State Animal Response Team (SART), establishing partnerships with other entities to assist in emergency response efforts and coordinating county emergency response efforts as related to animal issues), responsibility for the Emergency Support Function (ESF)-17 at the State Emergency Operations Center (SEOC), increased assistance on animal cruelty/abuse investigations and significantly increased management of cooperative agreements and grants from a variety of federal entities. In addition, responsibilities for enhanced animal disease surveillance and monitoring of animals introduced into the state that pose a risk of introducing diseases such as avian influenza, chronic wasting disease, Equine Herpes Virus 1 (EHV-1), contagious equine metritis, and piroplasmosis, have increased significantly. These issues are all tied to our regulatory service – Introduction of Animals into the State. Therefore, the continuation of all funding sources, including General Revenue, is justified due to the critical economic and animal/ public health benefits.

All other states carry out regulatory services and oversight of animal health of livestock and poultry. Without these functions being carried out in Florida, agricultural animal industries could not market their animals or products to other states, because of other state or federal restrictions. If producers were required to bear these additional costs, the competitive economic disadvantage would be so great that they could be expected to go out of business. Again, these regulatory measures serve to safeguard not the individual producer, but the animal industries as a whole and to protect animal and public health.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   As the majority of the costs of our program are either Salaries and Benefits or facilities/fuel costs, we would be forced to eliminate FTEs and reduce our animal disease surveillance and disease control efforts if state subsidies are further reduced.

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Animal Industry - Introduction of Animals Into the State

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 84

If the program is subsidized from other state funds, what is the source(s)? General Revenue /Ag. Emergency Trust Fund

What is the current annual amount of the subsidy? $3,046,063

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Introduction of Animals Into the State	Livestock; Marks and Brands; Stamping Beef	534	$5; $1,000	1975, 1991, 1993, 1997	No	$5; $1,000	General Inspection Trust Fund
	Recording of marks or brands	534.021	$10	1997	No	$10	
	Certified copies of marks and brands	534.031	$2	1975	No	$2	
	Renewal of certificate of mark or brand	534.041	$5	1997	No	$5	
	Transfer of ownership of mark or brand	534.051	$10	1975	No	$10	
Introduction of Animals Into the State	5C-4, Animal Health Regulations for Exhibition						General Inspection Trust Fund
	Equine Interstate Passport Card (DACS-09207) Application (DACS-09219)	585.002(5)	$200	2006	Yes	$15; $5	
	Negative EIA Test Verification Card (DACS-09160) Application (DACS-09206)	585.002(5)	$200	2006	Yes	$5	
	Equine Event Extension (A Permit)(DACS-09051)	585.002(5)	$200	2006	Yes	$10; $5	
Introduction of Animals Into the State	5C-11, Swine Garbage Feeding						General Inspection Trust Fund
	Application for Permit to Feed Garbage to Swine (AI-15/DACS-09015)	585.002(5)	$200	2002	Yes	$50, $100, $150, $200	
Introduction of Animals Into the State	5C-18, Equine Infectious Anemia						General Inspection Trust Fund
	Request for a permit to conduct EIA tests	585.002(5)	$200	1973, 1994, 1999	Yes	$50	
	Request for approved quarantine premises	585.002(5)	$200	1999	Yes	$200	
Introduction of Animals Into the State	5C-22, Contagious Equine Metritis						General Inspection Trust Fund
	Request for inspection for approval as a quarantine facility	585.002(5)	$200	1993	Yes	$150; $100	

Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Animal Industry - Introduction of Animals Into the State

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No

What percent of the regulatory cost is currently subsidized? (0 to 100%) 84

If the program is subsidized from other state funds, what is the source(s)? General Revenue /Ag. Emergency Trust Fund

What is the current annual amount of the subsidy? $3,046,063

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
	Entry of horse into CEM testing/treatment program	585.002(5)	$1,500	1993	Yes	$1,250; $750	
Introduction of Animals Into the State	5C-23, Transporting Animal Carcasses/Refuse						General Inspection Trust Fund
	Application and Permit to Transport Animal Carcasses/Refuse (DACS-09056)	585.002(5)	$200	1999	Yes	$200	
Introduction of Animals Into the State	5C-24, Schedule of Fees for Services						General Inspection Trust Fund
	Official Certificate of Veterinary Inspection (OCVI) (DACS-09000)	585.002(5)	$200	1999, 2002	Yes	$65	
	OCVI Equine (DACS-09002)	585.002(5)	$200	1999, 2002	Yes	$65	
	VS Form 9-3	585.002(5)	$200	1999, 2002	Yes	$50	
	OCVI Avian (DACS-09023)	585.002(5)	$200	1999, 2002	Yes	$100	
	Special Individual	585.002(5)	$200	1999, 2002	Yes	$30	
	OCVI Dog Cat Movement (DACS-09085)	585.002(5)	$200	1999, 2002	Yes	$65	
	OCVI Dog Cat Sale (DACS-09086)	585.002(5)	$200	1999, 2002	Yes	$65	

STATE OF FLORIDA
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

DIVISION OF PLANT PEST AND DISEASE CONTROL

42170600

EXHIBITS AND SCHEDULES

LEGISLATIVE BUDGET REQUEST
2016 - 2017

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services **Budget Period: 2016-17**
Program: 42170600 Apiary Inspection
Fund: 1000, 2360, 2507 General Revenue, Ag Emergency Eradication TF, Plant Industry TF

Specific Authority: Ch 581.021.14, F.S.
Purpose of Fees Collected: To help support the inspection and certification of honeybee colonies in order to maintain a healthy Apiary Industry.

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

X	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.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2014 - 15			ESTIMATED FY 2015 - 16			REQUEST FY 2016 - 17		
Receipts:	GR	AEETF	PITF	GR	AEETF	PITF	GR	AEETF	PITF
Apiary Registration Fees	-	-	79,487	-	-	89,708	-	-	89,708
Special Inspections - Apiary	-	-	30,512	-	-	39,411	-	-	39,411
Fuel Tax Allocation	-	246,490	-	-	246,489	-	-	246,489	-
U.S. Grants	-	-	-	-	-	-	-	-	-
Penalties - Returned Check Service Fees	-	-	45	-	-	-	-	-	-
Total Fee Collection to Line (A) - Section	-	246,490	110,044	-	246,489	129,119	-	246,489	129,119

SECTION II - FULL COSTS

Direct Costs:	GR	AEETF	PITF	GR	AEETF	PITF	GR	AEETF	PITF
Salaries and Benefits	334,824	228,122	-	344,824	242,901	-	344,824	242,901	-
OPS	3,050	-	49,488	3,950	-	51,566	3,950	-	51,566
Expenses	43,850	1,731	20,597	53,792	3,528	27,597	53,792	3,528	27,597
Contracted Services	100	-	91	140	-	115	140	-	115
HR Assessment	5,384	-	1,295	5,436	-	1,815	5,436	-	1,815
Plant Pest/Disease Monitor/Control	-	-	-	-	-	-	-	-	-
OATS Assessment	-	-	16,804	-	-	18,804	-	-	18,804
Refund State Revenue	-	-	30	-	-	-	-	-	-
Apiarian Indemnities	-	-	-	-	60	-	-	60	-
Total Full Costs to Line (B) - Section III	387,208	229,853	88,305	408,142	246,489	99,897	408,142	246,489	99,897

Basis Used: Indirect costs are based on percentage of total salary dollars by program.

SECTION III - SUMMARY

		GR	AEETF	PITF	GR	AEETF	PITF	GR	AEETF	PITF
TOTAL SECTION I	(A)	-	246,490	110,044	-	246,489	129,119	-	246,489	129,119
TOTAL SECTION II	(B)	387,208	229,853	88,305	408,142	246,489	99,897	408,142	246,489	99,897
TOTAL - Surplus/Deficit	(C)	(387,208)	16,637	21,739	(408,142)	-	29,222	(408,142)	-	29,222

EXPLANATION of LINE C:

The registration and inspection fees that are collected are not sufficient to cover actual program costs. However, the actual costs incurred are insignificant in comparison to the service rendered and its impact on Florida's public and economic health. If one calculates the value of all citrus, watermelons, strawberries, blueberries, squash, cucumber, avocado, lychee, longans and other minor agricultural crops, and crops produced by home gardeners, this is the partial value of honey bees, as all of these crops need pollen transferred from one flower to the other for this pollination and fertilization to produce a marketable crop. The industry is under considerable financial pressure from imported honey, low pollination fees and ever increasing overheads, and cannot shoulder additional costs directly. The contribution of our Africanized Honey Bee activities for all of Florida's citizens, tourists, guests, outdoor enthusiasts and other is a PUBLICSAFETY SERVICE. Raising fees sufficiently to cover these program costs would require so high an assessment from the industry as to damage its competitive position with similar entities in other states.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services_____

Regulatory Service to or Oversight of Businesses or Professions Program:
Apiary Inspection Program

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Operating within budget constraints, we have continued to maintain our priority regulatory registration, inspection and compliance agreements and monitoring Africanized honey bee (AHB) oversight responsibilities. We have experienced over a 325% growth in registered beekeepers since 2005, approaching 3,900 registered beekeepers and approximately 462,072 colonies. Recently, we abolished one (1) Apiary Field Inspector position even though the industry continues to grow. Best management requirements (BMRs) under direction 5B-54.0105 The Beekeeper Compliance Agreement – Best Management Requirements for Maintaining European Honeybee Colonies (FDACS-08492, revised 09/13) have been instituted, which requires a site visit by apiary field inspectors to verify beekeeper compliance and analyzing of honey bee samples in the Apiary identification laboratory in Gainesville without an increase in staffing. Apiary field supervisors and field staff have been trained to give public, organizational, state and community presentations on a variety of honey bee topics including, but not limited to, the aggressive defensive behavior of Africanized honey bee and honey bee health issues.

   Apiary services to all Florida's consumers have increased significantly without additional resources being required; however, there is now extremely limited flexibility to meet any additional demands without increasing resources. In terms of costs to run the program, we continue to improve our use of computer and associated technology to achieve greater efficiencies.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   The bottleneck that has resulted in diminished efficiencies occurs in the Division's USDA-Certified Africanized Honey Bee Identification Laboratory. The growing presence and spread of AHB in Florida and the concerns throughout the Southeast have taxed the AHB ID Laboratory. These concerns have resulted in dozens of samples being submitted for USDA-ID and FABIS (Fast Africanized Honey Bee Identification System) for processing from public, private,

governmental and industry groups in Florida, plus from other Departments of Agriculture in sister states in the Southeast.

We continue to gain efficiencies by training select apiary inspectors in the most labor intensive aspects of the AHB morphometric identification which is preparing submitted samples. Sample preparation requires dissection and mounting of selected honey bee body structures on microscope slides.

A new initiative in pilot testing is having apiary inspectors certify, in a prescribed window of time, if honey bee colonies are behaviorally manageable or not. If not, a sample is collected for further analysis. This initiative will track sample quantity change over time in the AHB ID Laboratory.

A pilot 'Mobile Office Computing' project has been started to explore the use of existing wireless technology to free apiary field inspectors from being anchored to fixed office locations. The goal is to give the inspectors the ability to use their vehicles as mobile offices to record regulatory data as well as distribute registration documents, inspection reports and a variety of other documents directly to the consumer in real time. This initiative should also allow field inspectors to electronically submit certificates, permits and similar documents/reports to Gainesville for **immediate processing**—without having to return to an office. This will reduce overhead costs and time needed to access those fixed resources. The successful implementation of this project will result in definable efficiencies in time and resources and increased value to our consumer base, helping to reduce postage and fuel cost.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Honey bees are the foundational pollinator species for successful agricultural production of many fruits, vegetables and berry crops in Florida. Under the guidance of the **Presidential Memorandum -- Creating a Federal Strategy to Promote the Health of Honey Bees and Other Pollinators**, Florida is among the leading agency on Managed Pollinator Protection Plans (MP3). Without a healthy and vibrant Apiculture Industry, the production of citrus, vegetables, watermelons, strawberries, blueberries and many other crops would suffer from lack of pollination that allows a fruit, melon vegetable or berry to form. Without pollination there is no crop and no agriculture business revenue. Estimates from the Division of Marketing place the value of Florida agricultural crops dependent on **honey bees for pollination at $1.4 billion**. If growers lose their markets they rarely regain them due to extreme market competition.

   Africanized honey bees, the extremely defensive and aggressive relative of the gentle, managed European honey bee, are increasing their presence in Florida. Florida has lost livestock, pets and wildlife as a result of mass stinging events. Dozens of citizens have sought emergency medical attention from non-fatal

stinging encounters with Africanized honey bees. In 2008, Florida experienced its first human fatality from an African swarm attack in the Kissimmee area. The Division of Plant Industry (DPI) tracks the movement and spread of these dangerous insects by monitoring and maintaining over 400 Africanized honey bee traps in the state of Florida. DPI maintains the only USDA-Certified Africanized Honey Bee Identification personnel in the Southeast.

This regulatory activity should continue at its current level at a minimum. Expansion in the future is highly advised due to the increasing spread of the Africanized honey bee which negatively affects Florida Agriculture and Public Safety. The regulatory duties conducted by the Division minimize the impacts of many serous pests and diseases of honey bees and helps ensure a safe and healthy Agriculture Industry.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The fees for registration are established and capped by Chapter 586.045 (3), F.S., at $100 and do not cover the cost of the regulatory oversight. Special inspection fees, as established by rule, cover the cost of providing the special regulatory service. The Division is prohibited from charging special inspection fees in excess of the cost to provide the service.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   No. The registration and inspection fees that are collected are insignificant in comparison to the services rendered. The industry is under considerable financial pressure from imported honey, low pollination fees, colony collapse disorder and ever-increasing overheads, and cannot shoulder additional direct costs.

   The contribution of our Africanized honey bee activities for all of Florida's citizens, tourists, guests, outdoor enthusiasts, and others is an essential public safety service. Education and outreach efforts to prevent more human fatalities in Florida are our ultimate concern.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required conducting inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state

standards by assessing a re-inspection fee if violations are found at initial inspection?

Since only one type of entity or portion of the Apiculture Industry is regulated by fees, there is no difference between types of consumers or services, except the number of colonies managed, that we provide as a value for consumers. The fees do not reflect the amount of time, and resources that are expended on our regulatory or public safety efforts. However, the low fees do help the Apiculture Industry remain compliant with state standards.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

If one calculates the value of all citrus, watermelons, strawberries, blueberries, squash, cucumber, avocado, lychee, longans and other commercial agricultural crops, and crops produced by home gardeners, it would only reflect the partial value of honey bees, as all of these crops need pollen transferred from one flower to another in order for this pollination and fertilization to produce a marketable crop. These figures can be calculated because of the presence of healthy honey bee colonies that are the result of an active, knowledgeable and consumer-oriented Apiary Inspection Section.

Apiary inspection is also about detecting established pests and diseases as well as exotic ones. Inspection is an essential tool for early-detection and subsequent early-response which helps keep impact costs lower.

Surveying, training and educational outreach efforts through and with the Africanized honey bee Working Group and the African Honey Bee Inter-Agency Coordination Group helps alert all segments of the state to the AHB situation and

provides appropriate awareness and helps ensure proper planning. Public safety and the value of human life are incalculable.

Raising fees sufficiently to cover these program costs would require so high an assessment from the industry that it would damage its competitive position with similar entities in other states. On average, it costs $1.65 to produce one pound of honey in Florida. These costs are directly attributed to control of varroa mite and small hive beetle. NASS statistics for 2014 show 14.7 million pounds of honey produced in Florida. This translates to over $24.255 million in production costs for honey producers and revenue of over $30.576 million for honey sales in Florida. The same costs would be incurred by commercial beekeepers participating in a fee-based pollination business model.

The importance of managed honey bees to Florida agriculture is simple to substantiate. Honey bees can pollinate efficiently within an approximate 2-3 mile radius of their colony. In the process of collecting pollen, many different types and varieties of plants are pollinated allowing them to produce the fruits, nuts, berries and seeds that feed Florida wildlife such as deer, turkeys, song birds, migratory birds and even fish. The value of these resources is immense if not priceless.

The presence of healthy honey bees in Florida is essential to the safety and supply of our food as well as the safety of our people and livestock at the state and national level.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   Honey bees provide benefits that only they can provide in the form of pollination. Without pollination, many segments of Florida agriculture would experience an irrecoverable loss in revenue from the decrease in production. Honey bees also provide free pollination in Florida's natural environment, producing the fruits, nuts and berries that feed all segments of Florida wildlife. Managed honey bee colonies minimize the risk of AHB stinging incidents that result in severe incapacitation or death in humans and livestock.

   There is no reasonable plan that can substitute for the benefits that a healthy and managed honey bee industry receives through apiary inspection for pests, parasites and diseases.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: **Apiary Inspection**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **No, Ch. 581.191, 581.212, F.S.**

What percent of the regulatory cost is currently subsidized? (0 to 100%) **(0 to 100%) 21%**

If the program is subsidized from other state funds, what is the source(s)?
General Revenue, General Inspection TF, Federal Grants TF

What is the current annual amount of the subsidy? $147,932

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Honey Bee Colonies	Apiary Registration	Ch 586.045 (3)	$100	1995	Yes	$5-$100	Plant Industry Trust Fund

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 42 Agriculture and Consumer Services
Program: 42170600 Citrus Budwood Registration
Fund: 2093 Citrus Inspection TF, 2507 Plant Industry TF
Specific Authority: Ch 581.021.14, F.S.
Purpose of Fees Collected: Specialized pathogen testing on citrus budwood and the distribution and preservation of clean budwood stock.

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

X	Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach **Examination of**
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III

SECTION I - FEE COLLECTION

Receipts:	ACTUAL FY 2014 - 15			ESTIMATED FY 2015 - 16			REQUEST FY 2016 - 17		
	CITF	FGTF	PITF	CITF	FGTF	PITF	CITF	FGTF	PITF
Citrus Budwood Fees			183,346			185,000			190,000
U.S. Grants		48,291			83,280			75,000	
Total Fee Collection to Line (A) - Section III	-	48,291	183,346	-	83,280	185,000	-	75,000	190,000

SECTION II - FULL COSTS

Direct Costs:	CITF	FGTF	PITF	CITF	FGTF	PITF	CITF	FGTF	PITF
Salaries and Benefits	608,563	-	-	606,790			606,790		
Expense	12,994	1,209	-	14,500	1,500		14,500	1,500	
Contracted Services	278	7,217	-	350	8,000		350	8,000	
Plant Pest & Disease Cntrl	-	39,865	-	-	45,000		-	45,000	
HR Assessment	8,694	-	-	9,000	-		9,000	-	
Relocate Citrus Budwood Facility	-	-	-						
OATS Assessment	-	-	8,761						
Total Full Costs to Line (B) - Section III	630,529	48,291	8,761	630,640	54,500	-	630,640	54,500	-

Basis Used:

SECTION III - SUMMARY

		CITF	FGTF	PITF	CITF	FGTF	PITF	CITF	FGTF	PITF
TOTAL SECTION I	(A)	-	48,291	183,346	-	83,280	185,000	-	75,000	190,000
TOTAL SECTION II	(B)	630,529	48,291	8,761	630,640	54,500	-	630,640	54,500	-
TOTAL - Surplus/Deficit	(C)	(630,529)	-	174,585	(630,640)	28,780	185,000	(630,640)	20,500	190,000

EXPLANATION of LINE C:

Although the fees have historically been sufficient to cover both direct and indirect costs, the recent detrimental effects of citrus greening and citrus canker on the citrus industry has reduced fresh fruit yield significantly. This pervasive problem is affecting the revenue streams of this and other citrus-related fee programs. The Department is requesting $1 million in general revenue for FY15-16 to cover the shortage. Additionally, the Department is investigating the fee structure to determine if raising the fees currently charged is feasible.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Agriculture and Consumer Services_____

Regulatory Service to or Oversight of Businesses or Professions Program:
Citrus Budwood Registration

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

   Streamlining of Real-time Polymerase Chain Reaction (qPCR) testing procedures over the past several years has yielded ongoing savings in both consumables and reagents, and in lab technician handling time. Implementation of robotic pipeting continues to improve lab efficiency, and reduce the risks of error and repetitive motion injury.

   Maintaining service contracts for the real-time PCR machines in the laboratory has reduced the unpredictability of repair and maintenance costs, and has provided insurance against equipment failure which would result in serious loss of productivity.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

   We continue to look for ways to streamline operations and increase efficiency. We routinely research new alternatives to expensive consumables, and seek special pricing for bulk purchases, especially for items we use frequently. For example, we have recently switched laboratory glove providers, to a vendor who provides samples to try, a more competitive price, and free shipping. We also discovered a small online seller of the surgical instruments that are used for our delicate shoot-tip grafting process. After some paperwork to get them registered as a state-approved vendor, we were able to purchase several new complete sets of instruments for the expanded Budwood facilities, at less than half of our previous cost. While these vendor-change savings may seem small, they add up to help us conserve state resources.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

   Yes, Citrus Industry stakeholder groups and industry task forces have expressed that clean budwood is critical to the survival of the industry in dealing with citrus greening and other endemic and exotic graft-transmissible diseases of citrus. The specialized pathogen testing provided by this agency is not available to individual growers through the private sector and distribution and preservation of

clean stock has to be centralized and made available to all stakeholders. There is no other agency or program in either the governmental or private realm that provides these services.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

   The citrus budwood regulation fees are established and capped by Chapter 581.031.14 (d), F.S., at $5. Program fees cover the registration costs of source trees, but not other program fees, as the Division is prohibited from charging fees above actual expenses for services rendered.

   The majority of the program's budget is funded by a citrus inspection box tax on the Citrus Industry. This fee is collected by the Division of Fruits and Vegetables and transferred to the Division of Plant Industry to cover the major portion of our expenses.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

   Although the fees have historically been sufficient to cover both direct and indirect costs, the recent detrimental effects of citrus greening and citrus canker on the citrus industry has reduced fresh fruit yield significantly. This pervasive problem is affecting the revenue streams of this and other citrus-related fee programs. The Department is requesting $1 million in general revenue for FY15-16 to cover the shortage. Additionally, the Department is investigating the fee structure to determine if raising the fees currently charged is feasible.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

   Since only one type of entity or portion of the Citrus Industry is regulated by this Citrus Budwood Registration fee, there is no difference between the types of customers or services that we provide and a consistent fee is reasonable and well-received by the customers. The annual source tree registration fees reflect an amount of time and input into indexing practices for plant pathogens that require a set amount of inputs that can be applied to all end users equally as each tree is

required to have the same tests; therefore, the cost of services is determined by the customer's number of trees requiring registration. Nurseries with large numbers of source trees paid more than nurseries with a smaller number of source trees. Re-inspection is not an issue as graft-transmissible pathogen positive or negative results determine tree status and the fee covers testing costs that are required regardless if a pathogen is determined to be present or not.

The majority of the Budwood Program is covered by a Citrus Industry fruit tax that is assessed on each box of fruit harvested. This tax is assessed fairly because it is applied on each box of citrus that is harvested. The taxes collected are deposited into the Citrus Inspection Trust Fund and then appropriated to the Citrus Budwood Protection Program. The fee is considered fair and equitable as the Citrus Budwood Protection Program benefits all segments of the Florida Citrus Industry by providing high quality citrus propagation stock to all parties.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:

   a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
   b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

   a) One hundred percent of the program is funded from trust funds, the majority of which come from the Citrus Inspection Trust Fund (CITF). Funds deposited into the CITF are collected by the Division of Fruits and Vegetables from the Citrus Inspection Box Tax. This fee is assessed on each box of citrus fruit harvested in the state and a portion is used to cover the cost of the Citrus Budwood Registration Program.

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

   N/A.

Schedule IA - Part II: Examination of Regulatory Fees

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: **Citrus Budwood Registration**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **No, Ch. 581.191, 581.212, F.S.**

What percent of the regulatory cost is currently subsidized? (0 to 100%) **(0 to 100%) 73%**

If the program is subsidized from other state funds, what is the source(s)? **General Revenue, Ag Emergency Eradication TF, Plant Industry TF**

What is the current annual amount of the subsidy? $**718,676**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Citrus Budwood	Source Tree Registration	581.031.14 (d)	$5	1998	Yes	$5	Plant Industry Trust Fund

SCHEDULE IV-B FOR FDACS REGULATORY LIFECYCLE MANAGEMENT SYSTEM (RLMS)

For Fiscal Year 2016-17

September 14, 2015

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Agriculture and Consumer Services	Schedule IV-B Submission Date:
Project Name: FDACS Pre-Implementation Activities	Is this project included in the Agency's LRPP? _X_ Yes ____ No
FY 2016-17 LBR Issue Code: 36260C0	FY 2016-17 LBR Issue Title: Enterprise Regulatory Life-Cycle Management System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Michael Johnston, (850)617-7015, Michael.Johnston@freshfromflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name:	Date:
Agency Chief Information Officer (or equivalent): Printed Name:	Date:
Budget Officer: Printed Name:	Date:
Planning Officer: Printed Name:	Date:
Project Sponsor: Printed Name:	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

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

A. Background and Strategic Needs Assessment

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

1. Business Need

According to the Florida Constitution in Article 4/Section 4(d) and Chapters 20.14/570, Florida Statutes, the mission of the Florida Department of Agriculture and Consumer Services (FDACS, the Department) is to safeguard the public and support Florida's agricultural economy. In order to fulfill the constitution and statute, the Department is required to perform regulatory and inspection services relating to agriculture, and in accordance with 507.07(2), Florida Statutes. This directive is carried out by the twelve Divisions and twelve Offices that comprise FDACS, who must observe strict adherence to Florida Statutes.

The Department drafted its Long Range Program Plan (LRPP) in 2014 and it outlines the priorities and goals needed to fulfill their mission of protecting the public and supporting Florida's agricultural economy. Initiatives include:[1,2]

- Increasing the production and sale of Florida's agricultural products
- Inspection programs ensuring the safety and availability of wholesome food and other consumer products
- Encouraging the responsible use and management of natural resources
- Ensuring fair and open business practices for consumers
- Providing consistent and easy consumer access to information
- Assisting Florida's agricultural industry and businesses with the production and promotion of agricultural products
- Preventing proliferation of potential harm to agricultural lands and businesses
- Promoting environmentally safe agricultural practices

Supplementary to the goals listed within the Department's LRPP, FDACS has also recently identified vital initiatives. These include:

- Protect consumers by more efficiently issuing private security, investigative, recovery, and concealed weapons licenses to eligible individuals and businesses
- Research, design, develop and implement a streamlined renewal process across the Division in terms of their F.S. 790, 493, and other license types
- Further develop and expand paperless capabilities to process revenue and disbursements; integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information
- Improve the timeliness and consistency of Division's and Department's response to customer requests or complaints with a unified customer relationship management (CRM) tool
- Enhance the Emergency Response capabilities of the Department in reaction to pest invasions, natural or manmade disasters, or disease outbreaks

FDACS also understands the value of forward insight as to the trends and conditions that it potentially might face, and acknowledges the practices that would best align with those trends. Of the priorities outlined in the LRPP, a few include: [3]

- Automated and paperless application, registration, and licensing requests
- Cost-sharing programs that offer financial incentives to farmers in using Best Management Practices (BMP) systems
- Preemptive deployment of personnel to mitigate potential risk to the public and agricultural businesses

[1] Appendix A: Business Case, Section 1.1 Department Background.
[2] Appendix A: Business Case, Section 1.1 Department Background.
[3] Appendix A: Business Case, Section 1.1 Department Background.

- Food testing and agricultural commodity tracking systems
- Advanced data management and imaging technology at interdiction stations

A number of these practices are critical to the ongoing success of the Department. There is now an ever-present need for increased efficiencies across all of the Divisions. This remains a high priority for the Department.

In line with these objectives, and in order to realize the overarching Department mission, each individual Division is responsible for administering a number of differing regulatory functions. Due to the fact that FDACS governs a wide variety of diverse industries, not every Division administers similar regulatory processes akin to some of their peer Divisions. In fact, all of the documentation and literature surrounding each Division's process flow diagrams, functional requirements, system design and architecture, data structure, and operating procedures show that no two Divisions govern the exact same set of regulatory processes. Nevertheless, there are many common, core regulatory functions that the Department performs.

The primary regulatory functions of the Department are application, licensure, compliance, inspection, and enforcement. These regulatory functions and their supplementary key practices and procedures are listed in the Exhibit below. It is these regulatory processes that FDACS needs to streamline across all of its Divisions and Offices with the implementation of an enterprise regulatory system with a revenue component, also known as a Regulatory Lifecycle Management System (RLMS).

Exhibit 2-1: Regulatory Lifecycle

The ultimate goal of the Department is to transition to an enterprise RLMS for use by every Division to perform their core regulatory functions. Based on North Highland's research and analysis of all surrounding documentation, system requirements, and internal objectives, it is recommended that FDACS look to implement a regulatory system modernization for the Division of Licensing (DoL) and all of its applications, then replace the Division of Administration's (DoA) Revenue Receipt Accounting (REV) system. Once the system is successfully designed, implemented, and running for DoL and DoA, the Department will then look to add on the outstanding Divisions to the new system. Once the system is designed and approved, the Department will map the remaining Division's business processes to the new system. This effort will increase engagement with Divisions other than DoL and DoA by keeping them involved in the RLMS effort prior to when their business processes will be directly impacted. The Divisions will also provide direct input via surveys and focus groups on the core regulatory model being developed for enterprise use by all of FDACS.

a. 2013 FDACS Work Group Report

In January 2013, Commissioner Putnam hosted a retreat for FDACS Senior Management in order to cultivate Department-wide objectives. It is from this retreat that the need for greater efficiency, better risk management, and executive decision support and analytics originated. The Department also wanted to provide a more engaging,

reliable, and user-friendly experience for their customers.[4] A byproduct of this retreat was a document titled, *FDACS Work Group Report – 2013*. This report provided additional context surrounding the results of the FDACS Senior Management retreat, and also focused on the key topics of Inspector Standardization, Customer Service, and Compliance Consistency.

Inspector Standardization

The Inspector Standardization Work Group focused on the evaluation of the current inspection business process and best practices in consolidating the eight inspection groups into one Department team. While not all of the Divisions participated in the Work Group, the ones that did found that inspection data is stored in 28 different databases on six diverse software platforms across eight Divisions, and that five of these eight Divisions seek to update their old systems with new applications.[5] The number of varying systems identified would have likely been higher with full Department participation. The Senior Management team also established a need for a systems solution that would coordinate the inspections between multiple Divisions, bolster internal database communication, retain standardized electronic documents and materials, and cross-train inspectors.[6] The standardization of inspector processes is an urgent business need as the Department oversees 48 different Division-specific training regimens among their respective Bureaus.[7,8] The Department has needs for a systems solution and standardized processes that will enable an enterprise-wide training structure, while utilizing the inspector resource time more efficiently.

Customer Service

With the goals of reducing the number of touch points with the Department and improving the customer's experience with the Department, the Work Group found that their customer service could be improved by a system that provided the following capabilities.[9]

- Online log-in, registration, and payment with a single identity/customer number
- Searchable database of historical compliance and enforcement activities of regulatory organizations
- Industry database for consumer products and agri-tourism
- Access to Department information

Compliance Consistency

Offering approximately 144 different licenses, registrations, permits, and certifications,[10] the Department determined its compliance consistency could be improved through the standardization of rulemaking, licensing, and final orders, developing a one-stop-shop for customers with the potential for a self-certification capability, and consolidation of license issuance efforts.[11] By consolidating and improving the consistency of the license issuance efforts, a centralized application system will help reduce the number of software applications and duplicative data, improve application processing times, and lessen the burden of front-end users accessing the application system.[12]

2. Business Objectives

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

Based upon North Highland's discussions with DoL and the review of related documentation, the key business

[4] Appendix A: Business Case, Section 1.2 Business Need.
[5] Appendix A: Business Case, Section 1.2.1.1 Inspector Standardization.
[6] Appendix A: Business Case, Section 1.2.1.1 Inspector Standardization.
[7] Appendix A: Business Case, Section 1.2.1.1 Inspector Standardization.
[8] Appendix A: Business Case, Section 1.2.1.1 Inspector Standardization.
[9] Appendix A: Business Case, Section 1.2.1.2 Customer Service.
[10] Appendix A: Business Case, Section 1.2.1.3 Compliance Consistency.
[11] Appendix A: Business Case, Section 1.2.1.3 Compliance Consistency.
[12] Appendix A: Business Case, Section 1.2.1.3 Compliance Consistency.

objectives for improved processes include:[13]

- Research, design, develop and implement a streamlined renewal process across the Division in terms of their F.S. 790, 493, and other license types
- Streamline the concealed weapon/firearm license issuance process by enhancing the current "Fast Track" system in the regional offices to determine applicant eligibility at the time of application; when the applicant comes into the regional office, they will be given an error and omission letter for an incomplete application or, if staff determines the application to be complete, upon receipt of non-disqualifying criminal history fingerprint results the system will automatically issue the license and submit it for print
- Research, design, develop, and implement a streamlined field administrative complaints system to be used by regional office investigators to support issuance of an administrative complaint while in the field.
- Research, acquire, design, develop and implement a next generation document management system to replace the current ORACLE IPM system

Based upon North Highland's discussions with the DoA and the review of related documentation, the key business objectives for improved internal capabilities include:[14]

- Further develop and expand paperless capabilities to process revenue and disbursements. Integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information

In addition to the objectives of both DoL and the DoA, and in moving forward with the enterprise regulatory system vision of the Department, it is important to also note the goals of the Department. Based upon North Highland's discussions with FDACS' Divisions, Offices, and IT Governance team, the Department documented its enterprise solution goals during a Department-wide Strategic Articulation Session with key executive staff. The goals are described below.[15]

- Enhance the customer experience in all interactions with or within the Department
- Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques
- Enable an enterprise customer service operation
- Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues

Shifting from a divisional model to an enterprise model, the key components that will help achieve the desired Department goals[16] are:

- A fully optimized technological infrastructure
- A single sign-on identity management system
- A master data management system
- A document management system
- A customer relationship management (CRM) system
- An Emergency Response system
- Mapping and data storage capabilities on a geographical information system
- A unified Service Desk combining help desk and call center as a single point of contact for internal application users and the public[17]

Customer Relationship Management (CRM) Tool

Stemming off of the Department's last goal of a unified Service Desk, an enterprise regulatory system with a

[13] Appendix A: Business Case, Section 1.3 Business Objectives.
[14] Appendix A: Business Case, Section 1.3 Business Objectives.
[15] Appendix A: Business Case, Section 1.3 Business Objectives.
[16] Appendix A: Business Case, Section 1.3 Business Objectives.
[17] Appendix A: Business Case, Section 1.3 Business Objectives.

revenue component will reduce the multiple points of contact with the Department. Decreasing the number of internal administrative and regulatory processes through a customer relationship management (CRM) tool is a major objective of many Divisions and the Department. The total numbers of Department customer interactions are increasing by an average of 9%[18] a year, and significantly adding to the costs of the Divisions and Department in having to set up and operate call centers for these interactions. The Exhibit below displays the growth of Department interactions from 2009 to 2014.

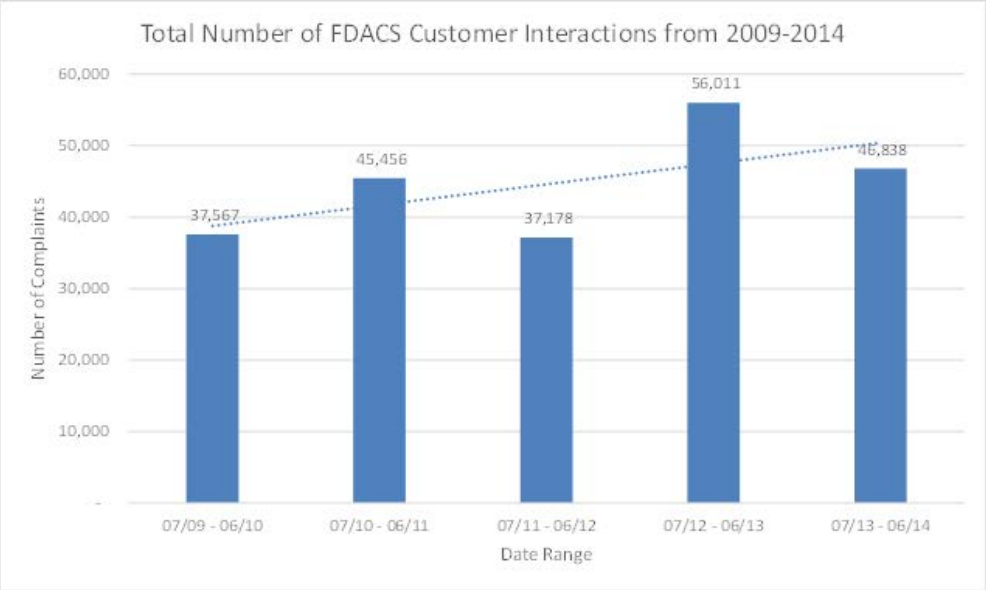

Exhibit 2-2: Total Number of FDACS Customer Interactions from 2009 to 2014

An enterprise CRM and Service Desk that unifies the help desks and call centers of the Department will help to reduce the multiple points of contact within the Department, as well as provide personalized services that improve customer service and satisfaction. The CRM tool will decrease the number of interactions and increase internal productivity by streamlining management and workflow processes through consolidated Division, Department, and customer information. Whether through call centers, interactive voice response (IVR), self-service kiosks, proactive email and texting, chat, mobile applications, faxes, internet, or in-person scheduling, integrating CRM with the new regulatory system will allow the Department to provide customers with a more personalized and proactive service, regardless of the channel. The overall benefits of the CRM will be lowered customer service costs and elevated customer experience with the Department.

Instituting more open communication channels between the Divisions and Offices not only reduces redundant data collection, but also bolsters monitoring, compliance, inspections, and customer service across the Department via more efficient process management that is critical to effectively respond to potential emergencies or issues that affect the well-being of the public and the State's agricultural industry. Moreover, these improved analytical abilities will lead to efficient resource allotment and operational efficiencies within the Divisions and across the Department, as well as reduced support costs.

The Department will see improvements at the business process level with the restructuring of duplicative processes and streamlined data identification. Movement towards higher data integrity and standardization will allow for improved operational efficiency, reporting, and monitoring. Stemming from this capability, key analytical metrics will facilitate better proactive decision support for the Department. A regulatory system implementation will greatly improve efficiency by consolidating a number of core business processes which are currently on disparate platforms, thus reducing the hardship of IT infrastructure maintenance for the Department. In alignment with the Department's strategic objectives, the deployment of an enterprise Regulatory Lifecycle Management System will empower its customers and position the Department to be responsive to changing operational demands.

[18] Appendix A: Business Case, Section 1.3 Business Objectives.

Another critical area in which the Department would benefit from an enterprise RLMS system is when FDACS is responsible for leading and/or managing an Emergency Response. As the first point of contact when natural- or manmade disasters occur, FDACS must deliver a timely and well-organized strategy for all impacted Divisions to execute. Whether it is the exchange of critical information, geospatial mapping of the mission-critical areas, resource planning and staffing, or cost tracking, the Department not only needs quick and reliable access to all of these capabilities, it must also be able to effectively communicate the appropriate execution plans. Currently, Emergency Response is a disjointed and retroactive process, as the Department has to develop a new system for every single emergency which usually encompasses inefficient methods of communication, mapping, and staffing, often performed via phone calls or emails. This manual process requires significant manpower, time, and effort, thus reducing the overall process efficiency of the Department's Emergency Response capability.

Further substantiating this point, the Department is the primary support agency for Emergency Support Functions (ESF) 17 and 11, "Food and Water," and "Animal and Agricultural" issues, respectively. As such, the Department is responsible for coordinating the training, staffing, scheduling, and identification of resources; cost records; financial reimbursement; and synchronization of joint activities with state and federal agencies. During emergency situations, the Department must be at its most efficient in order to protect consumers and the agricultural industry. The Department and the public will tremendously benefit from enterprise capabilities that include case management, workflow management, workforce management, enhanced GIS, and mobile inspections to support Emergency Response.

The U.S. Department of Agriculture estimates that foreign pest invasions cost U.S. taxpayers $120 billion dollars a year.[19] Foreign pest invasions can result in the reduction of crop value, high eradication expenses, emergency payments to farmers, and higher food and other natural resource costs to consumers.[20] Florida identified 120 new plant pests in the state since 2006, with 26 new plant pest species identified from 2010 to 2011 alone.[21] More recently in November of 2014, the State had to develop a new response plan for the Conehead termite outbreak. The Department has placed a high priority on containing and eradicating species such the Conehead termite, the Giant African Land Snail (GALS), Asian citrus psyllid, Asian citrus canker, Candidatus Liberibacter bacteria which causes Citrus Greening, and the Mediterranean fruit fly. The State successfully eradicated two separate cases of the Mediterranean fruit fly in 2010 and 2011, but at a combined cost of over $3.5 million dollars.[22] In other attempts to eradicate citrus pests, the State of Florida spent approximately $700 million for the Citrus Canker Eradication Program (1995-2006), and an additional $58 million for the Citrus Health Response Programs (2007-2011).[23] As recent as 2015, the State declared another emergency related to an infestation of an Oriental Fruit Fly in Miami-Dade County, and has begun developing a new system to deal with these pests.

An RLMS implementation will enhance and accelerate the Department's Emergency Response system, as well as reduce overall Emergency Response costs not only for FDACS, but also for the State. Additional funding is required to perform the initial analysis that includes requirements gathering, use cases, and business process reengineering (BPR) of an enterprise Emergency Response system for the Department.

For the complete details of FDACS' business objectives, refer to Appendix A – Business Case: Chapter 2, Section 1.3 Business Objectives.

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[19] Florida Department of Agriculture and Consumer Services. PowerPoint from email, "SPB NAFTA Challenges Florida 2008 WNDixon." Page 31. Accessed October 9, 2014.

[20] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 10.

[21] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 2.

[22] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.

[23] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.

B. Baseline Analysis

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

1. Current Business Process(es)

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

a. Division of Licensing

Pursuant to Chapter 493, F.S., and Section 790, F.S., DoL must license and regulate the private investigative, recovery, and security industries, as well as license qualified individuals to carry concealed weapons or firearms for lawful self-defense, respectively. These obligations are in no way menial. As of January 31, 2015, DoL had 182,450 Private Investigation, Recovery, and Security licensees, and 1,355,792 Concealed Weapon or Firearm licensees, for a total of 1,545,242 licensees, the highest number of licenses administered by any Division.[24]

In addition to a final license issuance determination, DoL has a number of supplementary responsibilities that include:

- Review applications for statutory compliance
- Review criminal history records provided by the FDLE, the FBI, and other law enforcement agencies to assure applicants & licensees meet statutory standards
- Issue licenses to qualified persons
- Deny licensure to unqualified persons
- Conduct proactive enforcement activities
- Conduct scheduled compliance inspections
- Conduct complaint investigations
- Issue letters of denial, notices of suspension, and administrative interactions
- Conduct informal hearings
- Issue final orders and handle all appeals

Other surrounding processes that accompany licensing 26 different license types and the resulting large volume of licensees is extraordinary in that it currently involves a number of manual and paper-based entries, multiple fact and background verifications, payment processing and reconciliations, and a final license issuance that all require significant time, workforce effort, and costs. The licensing process timeframe must take no longer than 90 days in accordance with State statutes. Presently, DoL is operating at a 96% issuance rate for these license types,[25] and would like to gain one percent in their license issuance rate per year over the next four years.[26] Significant time, process, and cost-saving efficiencies can be gained with the implementation of a new enterprise regulatory application with a revenue management component that will help the Division reach this goal.

In 2009 and 2012, the U.S. population experienced tragic gun-related catastrophes. As a direct result of the Fort Hood shooting in 2009, and the Sandy Hook Elementary School shootings in 2012, thousands of U.S. citizens applied for Concealed Weapons Licenses (CWL). In the State of Florida, DoL, who oversees all CWL, saw an increase of 51,175 applications in 2009, a 44% increase from the year prior, and a 35% increase of 52,405 applications in 2012, resulting in a total of 204,288 CWL for 2012 that needed approval.[27] 2008 and 2012 also saw a vast increase in demand for CWL due to the Presidential elections and its accompanying political climate. These four fiscal years produced the highest annual year totals in the 25-year history of the Florida's concealed weapons

[24] Appendix A: Business Case, Section 1.2.3 Division of Licensing.
[25] Appendix A: Business Case, Section 1.2.3 Division of Licensing.
[26] Appendix A: Business Case, Section 1.2.3 Division of Licensing.
[27] Appendix A: Business Case, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.

licensing program.[28] Such national catastrophes put the Division in a major bind in terms processing license applications, as they were unable to meet the statutorily mandated timeframes given the large volume influx and the old legacy licensing applications. The Division is only one more national catastrophe away from experiencing these extraordinary spikes in license applications, and would be better prepared to handle such situations with a new enterprise regulatory system with a revenue component.

DoL has a pressing need for implementing a new regulatory system for all of its applications, as their current ORACLE-based system is approaching its end-of-life, and its contract will expire on 12/31/15. At the end of the 2015 calendar year, the Oracle Application support coverage will expire and leave the Division exposed to potential threats and without the capability of receiving system maintenance and updates. A new enterprise regulatory system for DoL will not only provide the Division with the security, updates, and most modern licensing technology, but it would also house all of the various licensing applications on one system. This would be a key benefit, as it would replace the various legacy systems. Having one system for all applications, instead of one for each custom licensing applications, would reduce the workloads of internal employees, as they only have to operate one system, thus boosting their productivity.

DoL stands to gain numerous benefits from enhancing their online service offerings for their Ch. 493 and Section 790 applicants. A new online service system will be able to eliminate a number of the current paper processes regarding the printing, scanning, and mailing of relevant documentation, saving the Division time and paper processing costs. As a direct result of this reduction in manual processing and paper costs, the State legislature would then have the opportunity to decrease the fees associated with the various licenses that they regulate, if they so choose. The potential reduction in fees, in conjunction with easier online registration and payment, could help to bolster the Division's license renewal rate which would result in a further increase to the Division's already substantial generated revenue of approximately $26.2 million for the 2013-2014 fiscal year.[29]

Payment/fee collection is one area related to customer experience that could stand to benefit from an improved revenue management system. Currently, the State's Divisional regional offices do not have credit card swiping capabilities. Applicants must go to the regional office counter and sit down with an agent to manually enter and submit their credit card information. Given the desire for agents to not enter confidential customer payment information for security purposes, and to facilitate a one-stop-shop user experience, this is a licensing process that can be streamlined through the credit card payment feature of a new regulatory system with a revenue management component.

The customer-facing applications of a new system will allow potential licensees to upload, store, complete, and submit all of their applications, thus saving time, paper, and processing costs, while also enhancing their customer experiences. Specifically, in terms of a license renewal, if the required standards are met based off of previously uploaded and retained customer information, then a renewal will be issued automatically, and no additional processes will be needed. While the Division has done well to reduce their license processing timeframes, a new, state-of-the-art enterprise regulatory system would help to further reduce these licensing timeframes from what is currently a matter of weeks or even months to potentially just a few days.

Relatedly, external users of a new regulatory system stand to gain benefits in terms of customer experience and satisfaction. A common user complaint about the Division's site was that it does not allow customers to track the status or timeline of their application. In addition to quicker license processing times and determinations, the new system will allow customers to better track and know the status of their applications as it makes it way to final determination. Customer interactions and complaints will also be better addressed and responded to quicker with the implementation of a unified Service Desk through the new system's customer relationship management (CRM) tool. The overall customer experience will be further enhanced with the aforementioned one-stop-shop functionalities that include credit card processing and online payments for multiple licenses, document upload capabilities, user-profile retention, and the CRM tool.

With specific reference to the Division's oversight of Florida Statute (F.S.) 493, the regulation of private investigators and security industries, DoL would also benefit from the enhanced functionalities of an enterprise

[28] Appendix A: Business Case, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.
[29] Appendix A: Business Case, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.

regulatory system with a revenue component. The DoL's Bureau of Regulation and Enforcement operates at eight regional offices throughout the State, and perform the following regulatory activities.

- Conduct proactive enforcement activities
- Conduct scheduled compliance inspections
- Conduct complaint investigations
- Administer qualifying examinations for Firearms Instructor and Private Investigator licensure

DoL currently uses its own fiscal system to perform its revenue collection functions. This system is isolated, antiquated, and not user-friendly. Since it operates on its own application, DoL must send daily validation, check deposits, and settlement faxes to DoA's REV system. Due to the nature of having two, independent systems, there is a constant update/reconciliation and reporting process that occurs between DoL and REV, which demands time and resources. Efficiencies can be gained with the reduction in reconciliation documentation and transfer process with a new, integrated revenue management component of an enterprise regulatory system.

The implemented revenue management component would be scalable so that DoA could then roll on to the application in using its revenue management component as their main revenue collection and reconciliation system. Eventually, all other Divisions within FDACS would assimilate with this new system in becoming a true enterprise organization.

b. Division of Administration

In accordance with 570, F.S., DoA is primarily responsible for the revenue collection and processing, disbursement, and human resources for FDACS. The Division also handles all account and administrative actions and complaints, which require regulatory processing and are stored in the Agency Clerk application. DoA currently uses the Revenue Receipts Accounting System (REV) System as their primary revenue collection system, and all funds received are tracked within REV. The Revenue Online Collection (ROC) System enables the public to make online payments and upload multiple documents at a time. DoA also uses an e-Commerce Reporting System (EGC) that assists with reconciliation and billing. These various systems operate on separate platforms, and as a result, there are a multitude of manual payments and manual revenue validation processes that must occur.

As such, DoA stands to gain ample benefits and efficiencies from the implementation of an enterprise regulatory system with a revenue management component. The realization of these benefits will realistically take some time. DoA will not immediately integrate all of its processes with the new enterprise regulatory system, and the rest of the Divisions will have to remain on their current systems until the appropriate time, as well. However, DoA is eager to integrate with a RLMS given the enterprise direction of the Department. The other Divisions who will eventually roll onto this new enterprise regulatory system with a revenue management component will prosper from the system's multiple payment points, disbursement, revenue collection, and reconciliation capabilities.

With the impending implementation of the new Florida Planning, Accounting, and Ledger Management (PALM) system in the next several years, it will be easier for DoA to streamline with the revenue component given its integration with FLAIR (current financial management system). DoA will benefit from the automated dual reconciliation capability within the revenue management component of a new enterprise regulatory system, as there will be a drastic decrease in the transfer of information and documentation between the revenue module and FLAIR given the real-time batching between the additional interfaces. The automated reconciliation and batching processes will become free from data duplication, thus saving the Division and FDACS valuable workforce effort and costs, and furthering the efficiencies gained from a new system.

The document management and handling functionalities of a new system application will help improve DoA processing times and efficiencies in the check handling process. This will not only reduce manual nature of this process, but it will also promote higher internal controls and reduce the opportunity for internal fraud.

Another key system feature that would allow for an improved process efficiency would be near real-time deposit summaries. The current Division deposit summary process involves a "mail-in and wait" approach, where remote paper summaries are manually sent in and then take valuable time for a response receipt to be issued. With a new deposit summary feature, these summaries would be instantly deposited and verified by DoA, and would help to reduce correspondence time and costs.

A new RLMS will include single sign-on/authentication whereby allowing important customer profile information to be stored and available for reuse in all other applications. Eliminating multiple sign-on points for an individual

user will provide higher customer satisfaction and user experiences. Similarly, given that the system will retain pertinent, stored customer profile and payment data, this will create future business process reductions through quicker processing and renewal timeframes. Lastly, the new system would be able to assimilate and automate outside Automated Clearinghouse (ACH) payments and Division chargebacks.

c. FDACS

The Department is responsible for a broad range of services and regulatory activities across its twelve Divisions and twelve Offices. Included in these are systems that support administrative regulatory requirements for revenue, invoices, and fees; environmental services regulatory requirements related to feed, seed, fertilizer, and pest control licensing, use and compliance; and consumer services regulatory requirements for licensing in more than a dozen different industries. The current system environment includes:

- 68 systems (80% custom, 20% COTS (Commercial-Off-The-Shelf software) with varying customization) [30]
- 12 systems support multiple regulatory types (certification, license, permit, and registration)
- 29 support a single regulatory function

For just the regulatory function of licensing, FDACS manages the lifecycle of approximately 30 licensing activities.[31] In reviewing the license types within the Department, there is wide variability and complexity within each license type, which then requires its own specific configuration, set of requirements, and software renewal dates for the applications and tools supporting the business. This lack of uniformity also exists among the other regulatory functions within the Department.

Similar to DoL, other Divisions within the Department have inadequate systems in place that pose inherent risks to the Department, as they could potentially be exposed to threats from a lack of maintenance and support coverage. Given the variability and complexity of each Division's systems, the costs associated with maintaining the status quo in terms of the upkeep and maintenance of each Division's independent systems may be greater in sum than housing all of the applications on a new regulatory system.

Further information regarding the Divisional break-down of the total number of regulatory functions and regulatory systems managed can be found in Appendix A: Business Case: Chapter 2, Section 2.1 Current Business Processes. The entire Department's regulatory systems portfolio can be referenced in Appendix B: Master Regulatory Systems and Programs Document.

d. Challenges

FDACS' regulatory applications currently in place utilize differing technologies, design methodologies, and interfaces. Stemming from a previous lack of IT governance, there are multiple databases that are unique to specific Divisions, and operate without centralized, enterprise oversight within the Department. A number of these systems were created for specific Division programs over a decade ago with differing support requirements and end-of-life time frames with no strategy to facilitate uniform data across the Department. All of these siloed database environments house duplicated and redundant data across the Divisions, creating a challenging environment to effectively communicate consistent regulatory information among Divisions.

Overlying these current systems issues, the Department has also identified three key strategic challenges. First, the proliferation of redundant Division and Office processes and supporting systems exposes the Department to operational risk, which then increases the Department's administrative and support costs, while decreasing its operational efficiency and effectiveness. Second, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology. Last, from an external perspective, weather forecasts, commodity market reports, disease outbreaks, and international political conflicts require the Department to make constant operational course corrections.[32]

From an implementation perspective, a project of this nature and scope will have planning, design, and execution risks. In order to mitigate these risks, quality assurance procedures, including in-progress checkpoints and deliverable reviews, will be woven into the day-to-day operations of the Project's project management activities to

[30] Includes some modules within the total system count.
[31] Appendix B: Master Regulatory Systems and Programs Document.
[32] Appendix A: Business Case, Section 1.2.2 Challenges.

help ensure the project adheres to the implementation schedule. Ongoing issue management and risk assessment protocols will be upheld during project status reviews in order to mitigate potential setbacks. Effective upward communication from the FDACS PPMO to key stakeholders and Governance entities is key to providing up-to-date project status reports, offering accurate and best judgment risk and issue assessments, and actively managing expectations. Similarly, effective downward communication to the Project team is essential to building a teamwork culture and communicating expectations which will shape the success of the Project.

Having FDACS Executive, Steering Committee, and Governance support, a dedicated project team, and built-in checkpoints will help guide the Department towards success in implementing a new regulatory system and delivering value to the Department.

2. Assumptions and Constraints

The current regulatory applications within FDACS' portfolio are Division and function-specific, have not had recent or significant upgrades in modernizing its core systems, and are approaching or have passed their end-of-life support timeframes. This state of FDACS' systems portfolio inhibits the Department from performing its current and future-state business needs.

For consideration in moving forward with an enterprise regulatory system with a revenue component, several assumptions and constraints were documented during discussions with the Divisions and Offices. One assumption is that existing regulatory systems will need to be re-engineered or re-written in the very near future due to their end-of-life situation.

The specific analysis for assumptions and constraints are detailed in Appendix A: Business Case.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

Given the wide breadth and depth of the DoL's license offerings, DoL has pinpointed several requirements that will assist in the enhanced delivery of their services. These include:

- Data security and segregation given the confidentiality of concealed weapon licensee information
- Removal or modification of legislative mandate(s) where feasible to improve initial or renewal application processing efficiency
- Document and file retention for their fingerprint filing
- Assimilation of historical customer demographic data across all various license types
- Dashboard navigation
- Automation of manual and paper processes
- Case management
- Document management
- Customer relationship management (CRM) tool to better respond to customer interactions
- Data cleansing and migration tool
- Emergency Response support

The FY 15-16 Pre-Design, Development and Implementation Project (Pre-DDI) is currently underway, and by early Spring 2016 will have created the following deliverables to further refine the requirements that will be used to implement the RLMS. These deliverables include:

- Further refinement of current state process maps and associated documentation
- Development of use-cases
- Creation of business requirements to support the procurement of the RLMS

As a result of current processes and inefficiencies with their revenue collection and reconciliation systems, DoA has identified a number of core requirements of a new enterprise regulatory system. These include:

- A true e-Commerce environment that captures a majority of payments online

  - Collect one payment for multiple applications/processes; instead of multiple payments
- Shift to a fully automated renewal and notification system
  - Recipients sent notifications electronically, and in return, the Division can capture these documents electronically
- Standardization of documents via a document management tool
- Case management
- Personal data and profile management
- Work resource management
- Customer relationship management (CRM) tool to better respond to customer interactions

To further evaluate the solutions available to the Department for an enterprise regulatory system with a revenue component in moving to a Department-wide enterprise model, North Highland defined a minimum set of capabilities each option must fulfill based upon the following criteria:

- The mission of the Department and governing statutes
- The limitations of the current disparate systems
- The Department's guiding principles, goals, and objectives for a RLMS
- Research into how Florida agencies and the software market have responded to the challenges of implementing an enterprise RLMS

The minimum set of functionalities that represent the high level business process requirements a new enterprise RLMS must contain are outlined in the Exhibit below, while Appendix A: Business Case details the sub-capabilities of these core functionalities. Exhibit 2-3 provides a more expansive description of each individual Division's future state requirements.

FDACS Division

Functionality	Admin.	AES	Law Enforce.	Animal	Aqua	Consumer Services	Forest Service	Food Safety	F & V	Licensing	Marketing & Development	Plant	Water Policy
Case Management	✓	✓	✓			✓		✓	✓	✓	✓	✓	✓
Financials/ eCommerce	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓		
Business Intelligence	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Workforce Management	✓	✓	✓			✓			✓		✓	✓	✓
Mobile Work Force	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Licensing and Permitting		✓		✓	✓	✓		✓	✓	✓		✓	
Geospatial Mapping	✓			✓	✓		✓			✓		✓	✓
Document Management	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Exhibit 2-3: FDACS Functionality Heat Map

2. Business Solution Alternatives

North Highland examined three alternatives to meet the business goals of an enterprise regulatory system with a revenue management component:

- Develop a custom solution
- Deploy a COTS solution
- Develop a solution using a standard COTS framework/platform

For the full discussion of the business solution alternatives, reference Appendix A: Business Case, Section 4.2 Business Solution Alternatives.

3. Rationale for Selection

Based upon the analysis completed during the FDACS RLMS Feasibility Study, the recommendation by North Highland is that FDACS should implement either a COTS RLMS (Option 2) or COTS Platform RLMS (Option 3).

In considering the advantages and disadvantages of each option, as presented in Appendix A: Business Case, Section 4.2 Business Solution Alternatives, the Department must also carefully consider the following factors in making a selection:

- Option Alignment to Goals and Objectives
- Cost Comparison
- Benefits Comparison
- Risk Analysis

For the complete rationale of this selection, refer to Appendix A: Business Case, Section 4.3 Rationale for Selection.

4. Recommended Business Solution

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

The recommended business solutions from the FDACS RLMS Feasibility Study are the COTS RLMS (Option 2) and COTS Platform RLMS (Option 3) since they both have nearly identical combined scores across each of the key categories of:

- Alignment to Vision and Goals
- Total Cost of Ownership
- Achievement of Benefits
- Risk Analysis
- Substantial Anticipated ROI

Option 2 is the recommended option due to the slightly lower overall cost,[33] and the quicker time to breakeven, by the fifth year of the project (2020-21), as evidenced in the Exhibit below.

[33] Additional numbers regarding the each Option's Costs are in Appendix C: Cost Model Document.

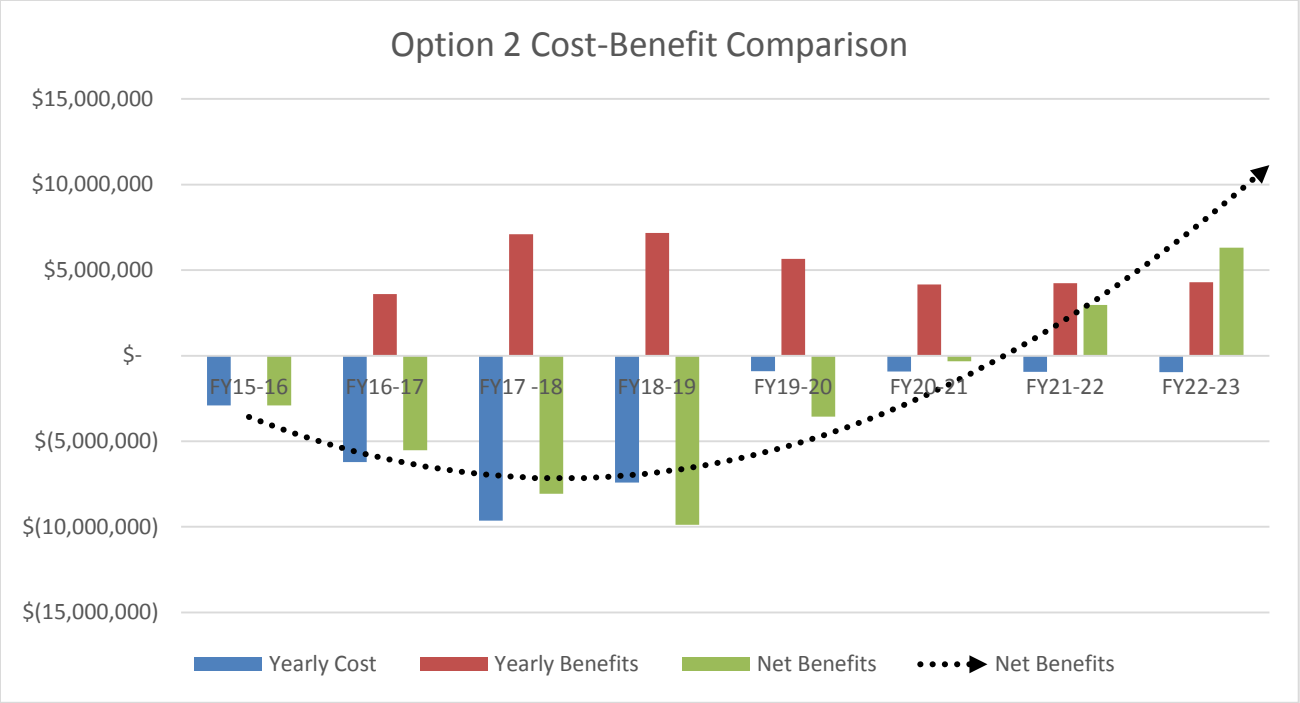

Exhibit 2-4: COTS Solution (Option 2) Cost-Benefit Comparison

However, it would be beneficial to the Department to include both options in a future procurement and let the market determine the best value to the Department.

Comprised within the Total Cost of Ownership figure for each Option is the "Additional Required Expenditures for Project," which is essentially the additional appropriations needed for the project. In selecting Option 2, FDACS will need to request an additional $23.69 million over the course of four years in appropriations for a new enterprise regulatory system with a revenue component. The additional funding request for Option 3 will be slightly higher than that of Option 2.

For the details of the recommended option and the related Cost Model, refer to Appendix A: Business Case, Section 4.4 Recommended Business Solution and Appendix C: Cost Model Document, respectively.

D. Functional and Technical Requirements

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

The results of the FDACS RLMS Feasibility Study generated a set of high-level core functional and technical requirements for an enterprise RLMS. The required system capability analysis is located in Appendix A: Business Case, Section 5. Appendix A: Business Case, Section 6.4 further outlines the technical capabilities required by an enterprise RLMS solution. These requirements are being refined further in the current FY 15-16 Pre-DDI project, which will produce current and future sate process maps, use cases, and requirements used in support of system procurement and implementation.

III. Success Criteria

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

A critical initial step in the modernization of the FDACS regulatory systems portfolio is the development of a clear and guiding solution strategy and goals/success criteria which align with the overall mission of the Department and the FDACS IT Strategic Plan. The solution strategy and goals/success criteria need to clearly address the key risks and challenges the Department is currently facing while discharging the statutorily required functions and duties.

The format used to document the RLMS solution strategy and goals/success criteria is a Strategy Articulation Map depicting the alignment between the Department's mission down to each solution goal. Each of the four solution goals is further defined with goal descriptions and the business value that can be expected to be realized once a new modernized solution has been fully implemented.[34]

How to Use the RLMS Strategy Articulation Map

The strategy articulation map supports multiple purposes throughout the RLMS project implementation lifecycle:

1. Identifies the required "success criteria" noting:
    a. Critical results, both outputs and outcomes, which must be realized in order for the Department to consider the proposed IT project a success, and
    b. Defining key performance indicators (KPIs)
2. Establishes the primary justification for undertaking the project
3. Provides a foundation for communication with both internal and external project stakeholders
4. Provides the project governance with a framework to evaluate downstream change requests

[34] Appendix I: Success Criteria

RLMS Strategy Articulation Map

Mission	Florida Constitution in Article 4/Section 4(d) and Chapters 20.14/570, F.S.: The mission of the Florida Department of Agriculture and Consumer Services is to safeguard the public and support Florida' agricultural economy.	570.07(2), F.S.: The department is required to perform regulatory and inspection services relating to agriculture.	
Key Risks and Challenges	Proliferation of division and office redundant processes and supporting systems: 1) Exposes the department to operational risk, 2) Increases the department's administrative and support costs, and 3) Decreases operational efficiency and effectiveness.	Existing applications are inflexible and not meeting the changing demands of both internal and external stakeholders.	Weather forecasts, commodity market reports, disease outbreaks, and international political conflicts are requiring the department to make constant operational course corrections.
Guiding Principles and Supporting Statutes	Implement an enterprise regulatory lifecycle management system that enforces process standardization, promotes economies of scale, and provides comprehensive, consistent, and accurate information.	Implement a solution that can streamline the department's functions and provide a foundation to consolidate similar services.	Enhance department programs that add to the quality of life for Florida's citizens and agricultural industries.
	The following Florida Statutes support the primary administrative operations of the department and are not intended to represent a comprehensive list of enabling statutory references: • 20.14 and 570.01: The department has evolved into a complext organization of twelve divisions and twelve offices. • 570.07: Department of Agriculture and Consumer Services; functions, powers and duties.		
Vision	Implement an enterprise department regulatory lifecycle management system that empowers customers, supports efficient processes, and positions the department to be responsive to changing operational demands.		
Solution Goals	1 Enhance the customer experience in all interactions both with and within the department.	2 Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.	3 Enable an enterprise customer service operation.	4 Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.

Exhibit 3-1: RLMS Strategy Articulation Map

RLMS Solution Goals/Success Criteria

Each of the four solution goals in Exhibit 3-1 are further developed to include:

- Goal Description
- Goal Business Value

Goal Description: The goal description is designed to provide additional support for each goal statement.

Goal Business Value: The goal business value describes the value the Department could obtain once an enterprise-class RLMS solution is operational.

The following exhibits describe each of the four identified solution goals:

GOAL 1
Enhance the customer experience in all interactions both with and within the Department
Goal Description
Improved customer experience that: ▪ Expands customer self-service capabilities ▪ Leverages mobile solutions for both the workforce and customers ▪ Provides a consistent customer experience ▪ Leverages a single view of customer interactions ▪ Standardizes e-commerce capabilities ▪ Enhances the interactions between Divisions and Offices
Goal Business Value
▪ Enhances and standardizes the customer interface ▪ Reduces the multiple points of contact with the Department in order to create efficiencies and savings, while still upholding a save and prosperous environment for Florida businesses, agriculture and consumers ▪ Eliminates, where possible, the requirement to collect redundant data – especially for customers who have multiple permitting and licensing activities ▪ Further develops a single brand and awareness in support of all of the Department's activities

Exhibit 3-2: RLMS Goal 1

GOAL 2
Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques
Goal Description
Provide a platform for the Department that: ▪ Expands the use of geospatial data ▪ Leverages a master data management framework to better predict areas for enforcement and monitoring activities ▪ Continues movement towards a risk-based inspection and case management focus ▪ Enhances the Department's Emergency Response capabilities ▪ Maintains a robust inspection history ▪ Supports enterprise-wide reporting needs
Goal Business Value
▪ Responds more effectively and efficiently to potential threats to the public and agricultural industry ▪ Provides new, more timely, consistent, and accurate information to aid operational decision making ▪ Enhances statutorily required enforcement and monitoring requirements ▪ Promotes a common definition of data across the enterprise ▪ Enables reuse of developed queries and reports across the Department ▪ Supports the movement towards paperless processes

Exhibit 3-3: RLMS Goal 2

GOAL 3
Enable an enterprise customer service operation
Goal Description
Provide a platform for the Department that: ▪ Expands the use of geospatial data ▪ Leverages a master data management framework to better predict areas for enforcement and monitoring activities ▪ Continues movement towards a risk-based inspection and case management focus ▪ Enhances the Department's Emergency Response capabilities ▪ Maintains a robust inspection history ▪ Supports enterprise-wide reporting needs
Goal Business Value
▪ Reduces the cost of supporting customer interactions ▪ Reduces the time spent reconciling transactions between multiple systems ▪ Focuses time on value-added information analysis ▪ Better leverages available data

Exhibit 3-4: RLMS Goal 3

GOAL 4
Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues
Goal Description
Replace outdated hardware and software with widely embraced technology leveraging advancements that: ▪ Improves functionality and ease of use ▪ Leverages mobile solutions for both the workforce and customers ▪ Simplifies infrastructure and application maintenance allowing for internal support ▪ Implements integration standards and protocols (e.g. API, SOA, etc.) ▪ Supports and enterprise master data strategy to reduce duplicative data ▪ Reduces overall maintenance costs
Goal Business Value
▪ Employs technology capable of scaling, evolving and growing as business needs change ▪ Improves workflow to increase efficiency and customer response ▪ Increases system security, stability and recoverability with implementation of latest technology standards ▪ Improves flexibility, timeliness and integration of all data transaction processing ▪ Reduces complexity of integration by leveraging a more flexible and adaptable technology framework and platform ▪ Increases pool of workforce technology talent/resources

Exhibit 3-5: RLMS Goal 4

Key Performance Indicators

The success of the project will also be based on a number of quantitative and qualitative factors. Each of these factors is in alignment with the guiding principles and solution goals outlined in the Strategy Articulation Map, as well as the overall vision and mission of the Department.

Key performance indicators (KPIs) will be identified through the analysis of the business value of each solution goals. The ongoing measurement of each KPI would become a critical part of a larger benefits realization plan.

The major success criteria for the project, along with the KPIs which must be realized in order for the Department to consider the proposed project a success, are outlined in Exhibit 3-6 below.

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	The solution will expand customer self-service capabilities.	▪ Number of new and renewal licenses issued ▪ Customer support costs ▪ Customer satisfaction ▪ Time to correspond to customers ▪ Number of licenses issued and renewed online	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
2	The solution will leverage mobile solutions for both the workforce and customers.	▪ Time to complete application ▪ Time to issue permit/license ▪ Time to complete inspection ▪ Employee satisfaction ▪ Customer satisfaction ▪ Emergency Response communication, mapping, and coordination	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
3	The solution will provide a consistent customer experience.	▪ Wait time for calls answered by Public Inquiry Section ▪ Time to pay for multiple permits/licenses ▪ Brand awareness ▪ Customer satisfaction	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
4	The solution will leverage a single view of customer interactions.	▪ Number of redundant records ▪ Number of duplicate permits/licenses ▪ Number of redundant processes ▪ Time to issue permit/license ▪ Number of errors/omissions in applications ▪ Mailing costs ▪ Time to reconcile accounts with payments received	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
5	The solution will standardize e-commerce capabilities.	▪ Number of new applications and renewals paid online ▪ Cost of processing an initial application/ renewal ▪ Number of paper documents produced ▪ Time to reconcile accounts with payments received ▪ Time to deposit payments received ▪ Customer satisfaction	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
6	The solution will enhance the interactions between Divisions and Offices.	▪ Time to generate reports ▪ Time to retrieve data from other Divisions ▪ Emergency Response communication	▪ FDACS ▪ State of Florida	Upon implementation
7	The solution will expand the use of geospatial data.	▪ Time to complete inspection ▪ Emergency Response mapping	▪ FDACS ▪ State of Florida	Upon implementation
8	The solution will leverage a master data management framework to better predict areas for enforcement and monitoring activities.	▪ Time to respond to infractions	▪ FDACS ▪ State of Florida	Upon implementation
9	The solution will continue movement towards a risk-based inspection and case management focus.	▪ Time to complete inspection ▪ Number of investigations performed	▪ FDACS ▪ State of Florida	Upon implementation
10	The solution will enhance the Department's Emergency Response capabilities.	▪ Emergency Response time ▪ Level of effort	▪ FDACS ▪ State of Florida	Upon implementation
11	The solution will maintain a robust inspection history.	▪ Time to complete inspection	▪ FDACS ▪ State of Florida	Upon implementation
12	The solution will support enterprise-wide reporting needs.	▪ Time to generate reports ▪ Time to retrieve data from other Divisions ▪ Paper documents produced ▪ Report accuracy ▪ Time to issue suspension ▪ Time to respond to FDLE alerts ▪ Time to respond to complaint/grievance	▪ FDACS ▪ State of Florida	Upon implementation
13	The solution will improve functionality and ease of use.	▪ Number of administrative actions generated ▪ Number of paper documents produced ▪ Time to process application ▪ Time to process payment ▪ Employee satisfaction	▪ FDACS ▪ State of Florida	Upon implementation

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
14	The solution will simplify infrastructure and applications maintenance allowing for internal support.	▪ Maintenance costs ▪ FTEs ▪ Number of redundant processes and applications ▪ Security of information	▪ FDACS ▪ State of Florida	Upon implementation
15	The solution will support an enterprise master data strategy to reduce duplicative data.	▪ Number of duplicate records	▪ FDACS ▪ State of Florida	Upon implementation
16	The solution will increase security, stability, and recoverability with implementation of latest technology standards.	▪ Number of data breaches ▪ System outages ▪ National, State, and Department technology standards compliance ▪ ADA Compliance	▪ FDACS ▪ State of Florida	Upon implementation

Exhibit 3-6: Key Performance Indicators

Successful Procurement

Helping to ensure the successful procurement of a RLMS, FDACS has a deep understanding of both the Florida procurement environment and regulatory solicitation environment from an implementation and vendor perspective.

To successfully support the development and execution of the RLMS procurement, the Department will:

- **Mitigate the risk of protest**: Address the known steps, procedures, legal requirements, or required reviews of Florida's state procurement requirements, and in applying a discipline and rigor to the process, this will ensure the procurement moves forward in a technically correct and transparent manner
- **Be precise, and be flexible enough to allow for innovation**: Present the requirements in such a way to allow vendors to bring new, innovative technologies or solutions to the procurement process for consideration, while also clearly and appropriately addressing the Department's needs
- **Use Regulatory Subject Matter Experts**: Identifying FDACS subject matter experts early is imperative when developing the ITN and when implementing the procurement process
- **Establish a realistic and achievable procurement plan (schedule)**: A realistic and achievable schedule leaves ample room for schedule adjustments without sacrificing critical schedule elements like the notice to award date

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

A. Benefits Realization Table

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

Over the last decade, the Department has experienced a significant expansion in all of its primary licensing, inspection, permitting, and consumer response functional areas. An analysis of the historical trends and their future projection indicate the Department must either increase the number of FTEs or increase the operational efficiency of existing FTEs with a new enterprise regulatory system with a revenue component.

For example, DoL and the Division of Consumer Services have both seen drastic increases in the number of their regulatory responsibilities. They would have to expand their workforce numbers or increase their operational efficiency rates to meet this increased demand. Implementing a modern RLMS will provide a workforce multiplier allowing the Department to avoid a significant portion of an expected increase in staffing. One of the tangible benefits calculated for the RLMS project is an estimate of the savings from not hiring to the staffing levels which would be required across the Department if the RLMS solution was not implemented.

System limitations in certain Divisions, especially in DoL, have resulted in requests for Division-level modernization projects. DoL completed a Schedule IV-B in 2009 to modernize its permitting and licensing functions. The implementation costs were scheduled to be incurred over a 42-month period for a total of $10,900,000. There are other examples of other Division system modernization requests, only the DoL estimated implementation costs have been included as a tangible benefit to this RLMS project.

A summary of the estimated intangible benefits from the enterprise, integrated RLMS system is displayed in the Exhibit below.

BENEFITS REALIZATION TABLE

#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Increase process efficiencies in anticipation of growth in overall transaction volume – the value from these efficiency gains is estimated to increase to $5.3 million annually when the RLMS system is fully implemented (increasing at an annual inflation rate of 1.5%).[35]	Intangible	▪ Applicants ▪ Permit/ License Holders ▪ FDACS/State ▪ Citizens	Anticipated functionality of the modern system's implementation.	Avoiding the majority of costs of adding staff to meet anticipated growth in permitting, licensure, inspection, and consumer response volumes.	No specific date as the benefits will be realized over length of implementation, which is based upon the number of users; additional users will increase efficiencies.

[35] Appendix A: Business Case, Section 4.3.3.1 Tangible Benefit Calculation.

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
2	Avoiding known costs of a previous system modernization involving only DoL from five years ago – benefit is estimated over the life of the planned implementation at a total of $10,900,000.[36]	Intangible	▪ FDACS/State ▪ Citizens	Anticipated functionality of the modern system's implementation.	Avoiding the cost funding individual Division system modernization projects.	No specific date as the benefits will be realized over length of implementation, which is based upon the number of users; additional users will increase efficiencies.
3	Enhance Emergency Response capabilities.	Intangible	▪ FDACS/State ▪ Citizens	Anticipated functionality of the modern system's implementation.	Reduce the overall response time and level of effort required to support the Emergency Response effort.	No specific date as the benefits will be realized over length of implementation.
4	Avoiding costs to support anticipated growth in inbound calls to Consumer Services.	Intangible	▪ FDACS/State ▪ Citizens	Anticipated functionality of the modern system's implementation.	Avoiding the cost of adding staff to meet anticipated growth in call volume.	No specific date as the benefits will be realized over length of implementation.

Exhibit 4-1: Expected Benefits

A list of intangible benefits identified through the RLMS Feasibility Study Project is located in Appendix A: Business Case, Section 4.3.3.2 Intangible Benefits. Additional tangible and intangible benefits are provided in Appendix D: Benefits Realization Table.

RLMS Project Benefits Realization Strategy

The Department has developed a strategy for realizing the estimated benefits expected from modernizing its technology infrastructure through the implementation of a RLMS to improve business processes and their associated outcomes. This strategy is summarized below and the approach that will be used to track and manage project benefit realization is depicted in Exhibit 4-2.

[36] Appendix A: Business Case, Section 4.3.3.1 Tangible Benefit Calculation.

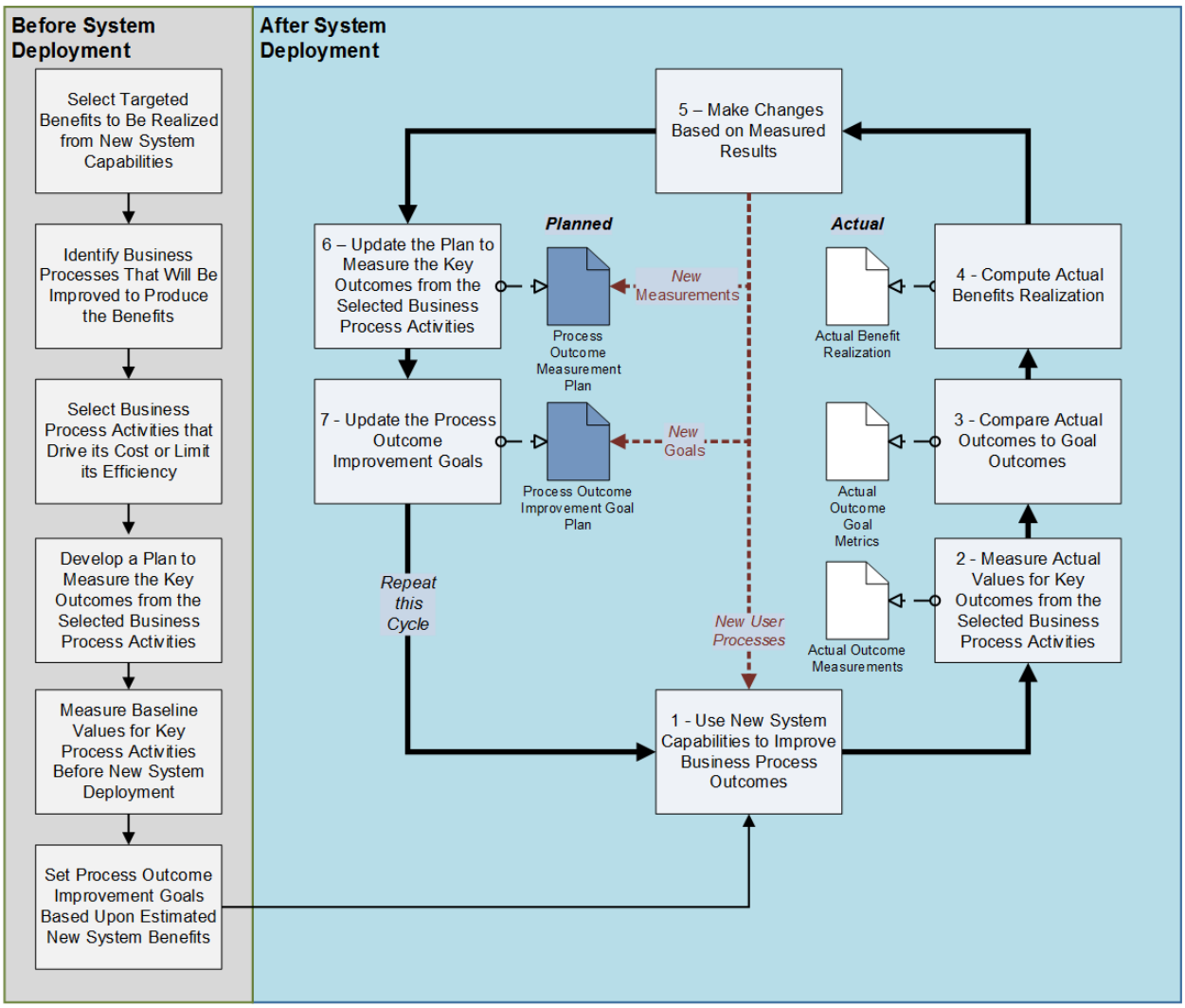

Exhibit 4-2: Benefits Realization Process

The thoughtful and intentional realization of benefits cannot begin until a process is in place – with strong leadership, broad understanding, and support from all stakeholders to regularly obtain meaningful measurements of business process outcomes. The following paragraphs explain the benefits realization management activities. The management of RLMS benefits realization begins by taking a number of preparatory steps before the new solution is deployed.

The following steps will be performed:

- **Select the targeted benefits to be realized from the new system capabilities**: This step has been initiated with the benefits identified in this feasibility study and will continue to be refined and supplemented through the project's pre-implementation activities
- **Identify the processes that will be improved to produce the benefits**: The business processes related to the targeted benefits will be analyzed and validated in conjunction with key Division staff
- **Select key activities from each business process that may serve as indicators of process improvement:** The relevant business processes will be broken into smaller sub-processes and activities in order to facilitate discussions and analysis of current costs and opportunities for improvement using the RLMS's functionality and capabilities; estimated cost elements for each sub-process will be assembled into a RLMS Benefits Realization Workbook; this will produce a large number of cost elements, which will be impractical to routinely track therefore, the values for a few key activities should be chosen as meaningful

measurements of process improvement and cost reduction

- **Develop a plan to measure these key activities** (e.g. labor, duration, resources, quantity, quality, etc.): The plan should include what is to be measured and by whom and should fully describe the method for taking the measurements so that different individuals would obtain the same results.
- **Measure baseline values for key process activities before the RLMS is deployed**: The measurement plan should be carried out until it is understood by all participants; then baseline measurements should be taken before system deployment so that before-and-after comparisons may be made
- **Set process outcome improvement goals based upon the estimated solution benefits**: The cost reduction benefits from using RLMS have been estimated based on the areas that are believed to most benefit from the new solution; once the estimated benefits are being realized, outcome improvement goals may be revised to obtain even greater benefits; the benefits realization management cycle can be employed as part of on-going continuous process improvement activities

After implementation of the RLMS, benefits realization management will consist of recurring cycles of the following actions:

1. Use the RLMS's capabilities and functionality to improve business process outcomes (e.g. lower cost, higher output, improved quality, etc.)
2. Measure the actual process outcomes
3. Compare the actual outcomes to the goal outcomes
4. Compute actual benefits realization
5. Make changes to RLMS user processes or procedures, to the measurement plan, or to the process outcome goals – based upon the actual measurement results
6. Review and update the key process outcomes measurement plan, as required
7. Review and update process outcomes improvement goals, as required

B. Cost Benefit Analysis (CBA)

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

1. The Cost-Benefit Analysis (CBA) Forms

The chart below summarizes the required CBA Forms which are included as Appendix E: Cost Benefit Analysis. A few of the major takeaways from the CBA are the following:

- The RLMS Project will realize positive annual net tangible benefits starting in FY 2019-2020 (year four of the Project). These annual net benefits will continue past the four-year CBA Schedule IV-B horizon
- The RLMS Project achieves a net positive cumulative benefit in the beginning of FY 2021-22 (year six of the Project); this positive net benefit continues to increase dramatically after this project break-even point.

Cost Benefit Analysis	
Form	**Description of Data Captured**
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project. Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.

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

- FDACS plans to internally source FTE for the project, leading to further enhanced cost savings, particularly in the long-term as vendor support for RLMS becomes unnecessary
- FDACS' DoL's Schedule IV-B's cost avoidance benefits for their system modernization provide a high degree of confidence in the accuracy and order of magnitude of the stated RLMS benefits

It is important to note that the additional benefits of a new enterprise RLMS are not entirely captured in the CBA, as the project's projected benefits are more accurately outlined in the Cost Model Document found in Appendix C: Cost Model Document.

V. Schedule IV-B Major Project Risk Assessment

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

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

A. Risk Assessment Summary

An in-depth risk assessment of the RLMS project was performed using the risk assessment tool provided as part of the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool involves answering 89 questions about the project being considered, divided into eight assessment categories. The results of the assessment are summarized below and the entire completed Risk Assessment is included in Appendix F: Risk Assessment.

The RLMS project is in alignment with the Department's business strategy and goals. As expected in the early stages, the project carries some risk. It is expected that overall project risk will diminish significantly by the conclusion of the first year of implementation when the project structure is fully in place and the foundational technology elements have been implemented. Exhibit 5-1 is a graphical representation of the results computed by the risk assessment tool in Appendix F: Risk Assessment.

Project	*FDACS RLMS*	
Agency	*Department of Agriculture and Consumer Services*	
FY 2016-17 LBR Issue Code:	**FY 2016-17 LBR Issue Title:**	
Issue Code	*Issue Title*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Name ------ Phone # ------ E-mail address		
Executive Sponsor	*Michael Johnston*	
Project Manager	*Steve Garrison*	
Prepared By	*Douglas Holleman*	*9/10/2015*

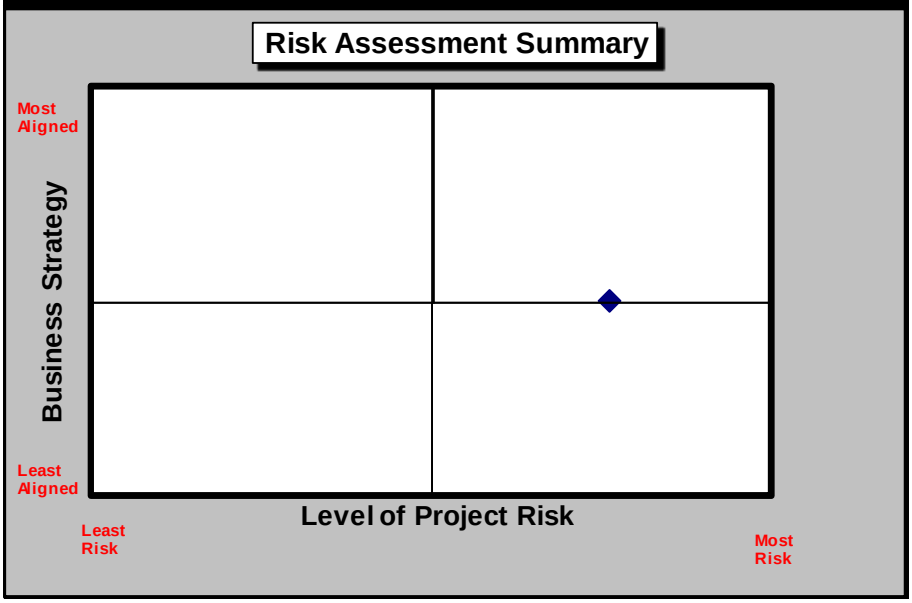

Exhibit 5-1: RLMS Study Project Risk Assessment Summary

The Department has established a project management methodology that has led to multiple successful implementations over the past few years. When answering the questions in the risk assessment tool, it was assumed that the current project management and governance structure in place would remain in place throughout the RLMS project, and the Department would obtain the services of a qualified vendor to support project management and IV&V services.

Specific examples of Risk Assessment (and Business Strategy alignment) areas that will be addressed by the conclusion of the first year of the project include:

- Strategic Risk
    a. All of the project objectives will be clearly aligned with the Department's legal mission
    b. The project objectives will be clearly documented and signed off by the stakeholders
    c. The project charter will be signed by the executive sponsor
    d. All of the project requirements, assumptions, constraints and priorities will be defined
- Technology Risk
    a. Detailed hardware and software capacity requirements will be defined
- Organizational Change Management Risk
    a. The business process changes will be defined and documented
    b. Organizational Change Management will be essential for success
    c. An Organizational Change Management Plan will be developed and approved early in the project
- Communication Risk
    a. The Communication Plan will be approved
    b. The Communication Plan will promote the routine use of feedback (at a minimum)
    c. All affected stakeholders will be included in the Communication Plan
    d. All key messages will be documented in the Communication Plan
    e. Desired message outcomes and success measures will be documented in the Communication Plan
    f. The Communication Plan will identify and assign needed staff
- Fiscal Risk
    a. A Spending Plan will be documented and approved for the project lifecycle
    b. All project expenditures will be identified and documented in the Spending Plan
    c. The cost estimates for the project will be accurate within +/- 10%
    d. We anticipate funds will be available within existing resources to complete the project
    e. All tangible benefits will be identified and validated during the procurement phase
    f. The procurement strategy will be reviewed and approved
    g. A contract manager will be assigned to the project
- Project Organization
    a. The project organization and governance structure will be defined and documented
    b. A project staffing plan will identify and document all staff roles and responsibilities
    c. The change review and control board will include representation from all stakeholders
- Project Management Risk
    a. All requirements and specifications will be defined and documented
    b. All requirements and specifications will be traceable to specific business rules
    c. All project deliverables and acceptance criteria will be identified
    d. The Work Breakdown Structure will be defined to the work package level
    e. The project schedule will specify all project tasks, go/no-go decision points, milestones and resources
    f. Formal project status reporting will be in place
    g. All planning and reporting templates will be available
    h. All known project risks and mitigation strategies will be identified

- Complexity Assessment
  a. Organizational Change Management will be essential to mitigate the risks of multiple entities at multiple locations throughout the state
  b. Communications Planning will be critical to ensure stakeholders and informed and involved

Exhibit 5-2 illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place and the foundational technology elements have been implemented.

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

Exhibit 5-2: Project Risk Assessment Summary Table

The Department's plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Appendix G: Implementation Plan.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of current system

DoL administers 26 different license types and oversees the highest number of licenses within the Department, with over 1.5 million current licensees. Out of this present licensee count, approximately 1.35 million are for concealed weapons licenses. Only 50% of F.S. 790 concealed weapons licenses are filed electronically and application processing times range from 4-6 weeks.. The Division has made it a priority to initiate efforts to increase this online registration percentage and process automation. This has proven difficult as the current maintenance cost of all of these various licensing systems is approximately $258 thousand per year, and with the Division running on an old, 32 bit Windows 7 OS, they are constrained as to the level of required maintenance they need to uphold current capabilities. As a result, the annual systems maintenance costs could significantly increase given the system's expiring support. Moreover, in regulating the large volume of licenses, DoL had stated that the internal productivity of their 280 person workforce would increase through the assimilation of all of their licensing systems in that all historical, demographic, and license standing data would be available under one domain, as opposed to their current method of searching for this information within multiple systems.

In handling the revenue collection and processing, disbursement, and human resources for FDACS, DoA also handles and tracks all account and administration actions, which requires regulatory processing and they are stored in the Agency Clerk application. DoA currently uses the Revenue Receipts Accounting System (REV) System as their primary revenue collection system, where the details of manual and online payments are recorded. Revenue Online Collection (ROC) System is for the public to make online payments and upload multiple documents at a time. DoL uses ROC solely for renewals. DoA also uses an e-Commerce Reporting System (EGC) that assists with reconciliation and billing. However, these systems operate on separate platforms, and as a result, there is a multitude of manual payments and manual revenue validation processes that must occur. These processes are further compounded by the daily batching and transfer of reconciliation reports with FLAIR.

From an enterprise perspective, the Department's regulatory charge encompasses the issuance of licenses, permits, registrations, authorizations, and certifications as well as efforts to assist businesses and individuals with maintaining compliance with laws and regulations. The missions of the Divisions and Offices are diverse and so are the applications and systems that support them. For example, the Divisions and Offices require applications and systems to support water quality best management practices, citrus disease identification and control, testing for chemical residue in food, fair ride safety, petroleum product integrity, tracking the health of farm animals, and issuance of concealed weapons licenses.

Thirteen of the Department's twenty-four Divisions and Offices directly manage regulatory programs, with approximately 2,500 of the Department's 3,600 employees performing a regulatory function. The regulatory application portfolio itself contains 68 applications. The Department's Regulatory Application Portfolio Profile is included as Appendix B: Master Regulatory Systems and Programs Document providing information about each application that plays an important regulatory support role. The composition of the application portfolio ranges from legacy systems nearing the end of life to systems that have been recently deployed. The systems range from large-scale web applications to a collection of single purpose Microsoft Access databases. The portfolio includes custom applications, COTS solutions, and significantly customized COTS solutions. These applications provide varied functionality that includes, but is not limited to, the following:

- Applicant/Registrant Tracking
- Geographic Information System (GIS) Mapping
- Document Management Integration
- Mobile Inspections and Customer Access
- Case Management

The current application portfolio displays a disjointed functionality that could be leveraged at an enterprise level to

improve business processes. For example, various regulatory business programs require document imaging functionality. However, the current application portfolio restricts access to documents within the program area in certain instances. In other instances, business programs use stand-alone imaging systems that do not interact with the primary regulatory application while other program areas lack access to imaging functionality.

Many programs experience similar problems with respect to case management functionality. Numerous regulatory areas do not have case management functionality, which results in information being transferred through manual delivery of file folders. These Divisions and Offices would benefit from a true enterprise case management system, allowing an incident to be tracked from inception to resolution - even across Divisions.

For more details on each individual system, refer to Appendix H: Portfolio Analysis, Section 3 Market Trends and Offerings, and Appendix B: Master Regulatory Systems and Programs Document.

b. Current system resource requirements

The current system software and hardware requirements are documented in Appendix H: Portfolio Analysis, Section 3.6. The cost/availability of maintenance or service for existing system hardware and software is outlined in Appendix H: Portfolio Analysis, Section 3.1.1 Hardware and Software Cost. Appendix C: Cost Model Document provides further insight into future maintenance and support costs, as well as key staffing requirements.

c. Current system performance

As stated above, FDACS has 68 systems supporting regulatory and licensing functions across its Divisions.[37] The current system environment includes:

- 80% custom solutions and 20% COTS solutions with varying customization
- 12 systems support multiple regulatory types (certification, license, permit and registration)
- 29 support a single regulatory function

A detailed list of each Division's Regulatory Systems and Programs, as well as their processing volume, documentation, profile, and platforms can be found in Appendix B: Master Regulatory Systems and Programs Document.

While many Divisions have similar processes, each Division executes those processes differently. For example, many program areas include inspections, but the process of documenting inspections ranges from a handwritten process to using a mobile software solution. Having so many disparate systems and processes comes with inherent risk and issues. In the spring of 2013, the Office of Agriculture Technology Services (OATS) conducted an analysis of data structures used in some of the Department's applications and found that inspection information existed in 166 different locations, the label "address" in 158, and "name" in 472.

With multiple systems on various platforms, and differing maintenance, support, and end-of-life structures, the Department is currently at capacity in meeting the minimal requirements of each Division's application portfolio. In this current state, there are no operational efficiencies to be gained.

Additional information regarding the issues and challenges of the current system's performance can be found in Appendix H: Portfolio Analysis, Section 3.4 Issues and Challenges.

2. Information Technology Standards

FDACS currently has numerous technology standards in place, and they are constantly being updated. As the Agency for State Technology (AST) standards are defined, FDACS and the RLMS Project will adhere to those standards. There are no current Department specified standards or policies that specify service levels and/or performance requirements that have or may affect the project.

B. Current Hardware and/or Software Inventory

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

[37] Includes some modules within the total system count.

data center.

To maintain the current systems, the Department maintains a majority of the hardware and software environments centrally at the Office of Agriculture Technology Services (OATS). Some are maintained by the Division or Office that owns the system. The current Department application portfolio has significant limitations including those outlined above in Section A.1.c. Detailed information regarding the specific hardware and software of the Department, as well as their initial and yearly support costs can be found in Appendix H: Portfolio Analysis, Section 3.1.1 Hardware and Software Costs. It is important to note that additional annual hardware and software costs will be incurred for the project planning, onboarding, and implementation of a new RLMS system.

C. Proposed Solution Description

1. Summary description of proposed system

The solution being proposed is a modern enterprise COTS regulatory system with the capability to manage the application, renewal and enforcement of the various licensing and permitting functions of the Florida Department of Agriculture and Consumer Services. The scope and key functionalities of the solution will include:

- Case Management and Customer Relationship Management (CRM)
- Financials/e-Commerce/Revenue Management
- Business Intelligence
- Workforce Management
- Mobile Work Force
- Public Self-Service Capabilities
- Licensing and Permitting
- Geospatial Mapping
- Document Management

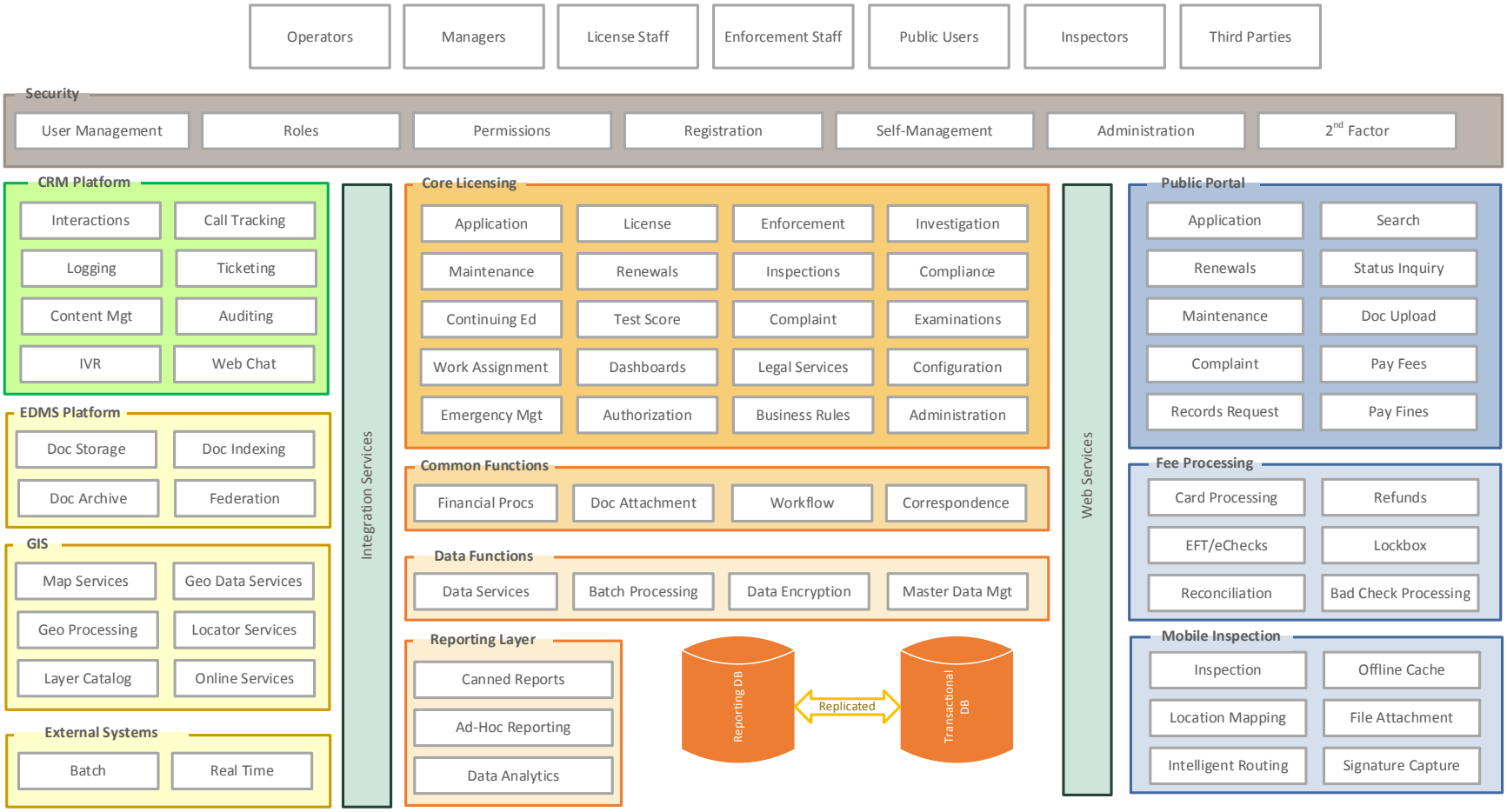

Exhibit 6-1: Functional Architecture Diagram of the Solution

The entire proposed RLMS Functional Architecture can be seen in Exhibit 6-1. The new RLMS functional ecosystem will include a robust Regulatory Management Platform as its **Core Licensing** component. This central case management component validates and tracks all licensing, permitting and enforcement activity within the Enterprise. This platform will also support the **Public Portal** Self-Service component of the solution. Self-Service functionality will include the ability of customers to use the website for **Maintenance** of their accounts, including changing passwords, modifying addresses or adding new account details. This component allows for the public user to apply or renew a license or permit, pay related fees or fines, and view status of their application. This function also allows for public search of licensed individuals and view their license status. The central case management solution also supports mobility for inspectors and investigators. The **Mobile Inspection** platform provides the functionality to remotely inspect and report on activities by entities licensed (or in process of getting licensed) and managed by the organization. It supports the scheduling, mapping and intelligent routing of inspection activities and provides the capability for electronic signature capture and digital content capture such as pictures and videos.

The solution supports several secondary components including a **Customer Relationship Management (CRM)** component that will enable call centers to access customer information more quickly, and will document previous interactions with each customer to support faster decision making, better personal information security, and reduce the incidence of fraud by providing the capability to perform automated predictive analytics.

An **Electronic Document Management System (EDMS)** supports the storage, management and federation of digital documentation. This digital documentation would include digitized supporting documentation, pictures, video and audio attachments. This component federates the content from the core Licensing platform and secondary sources. The **Geographic Information System (GIS)** provides the point and vector location services for the platform. It provides the capability for point display, support of geographic boundaries and the business rules associated with location profiles.

A robust **Reporting Layer** will be implemented to support operational and analytical reporting capabilities of the solution. This reporting layer utilizes a secondary data structure to support both configured and ad-hoc reporting functions within the overall solution platform.

The **Security Layer** is overarching and supports the shared single sign on authentication and user management as well as all necessary data security including encryption and audit trail across all underlying solution components. This layer supports the management of both public and private authentication into the system allowing for a consolidated and efficiently managed security infrastructure. Data security and privacy will be an integral, native function of the RLMS solution, which will also comply with external security requirements, including the FBI CJIS security policy.

Within the **Integration Services** activity, the **Data Cleansing and Migration Tool** will enable information lifecycle management by automatically "cleansing" current databases before data migration into a new data system. Any data with errors it will be recognized and corrected before migration into a new database system, allowing for the migration process to run without getting caught on bad or out-of-date datatypes between the two database systems. An enterprise-focused, standardized approach to data cleansing, data migration, and master data management is absolutely necessary to ensure that the RLMS delivers maximum value to the Department.

Overall risk to the data cleansing and migration effort is decreased by lessening the human interaction and leveraging a proven tool. The effort involves several critical steps supported by the types of tools recommended for the RLMS project:

- Data Discovery and Classification – Identifying and understanding the business use of the data in the current environment
- Establishing Connectivity – Gaining access to the data, and establishing connections needed by the future system
- Data Cleansing - Analyzing the data and addressing data quality issues
- Iterate and Improve – Test on small data sets, get it right and iterate
- Normalizing – Get the data into the format needed by the new RLMS
- Loading – Moving the data needed in the future processes to the RLMS, and archiving other data
- Validating – Confirming data quality, security, and other expectations/requirements have been met

- Master Data Management (MDM) - After data cleansing and migration have taken place, the data must be continuously maintained to ensure that it supports the business processes around RLMS; MDM tools recommended for RLMS are intended to support the processes, governance, policies, standards and approaches needed to provide for consistent definition and management of critical data of FDACS, with the goal of creating a single point of reference for critical agency data

MDM and data quality activities are ongoing activities that will continue across the entire lifecycle of the system. These tools will be utilized to reduce risk, facilitate data cleansing, and increase data quality throughout the migration iterations and will also be used to perform the master data management required to maintain data quality once the data has been migrated into production.

2. Technical architecture description of proposed system

The overall technical architecture of the solution includes the network, computer and storage infrastructure to support the functional architecture described above. The goal of the technical architecture is to support the stability, security and scalability of all primary and secondary components of the solution. The conceptual infrastructure presented can be implemented using several hosting paradigms including vendor hosting, cloud based, on premise virtualized or on premise bare metal build-out in within a local data center.

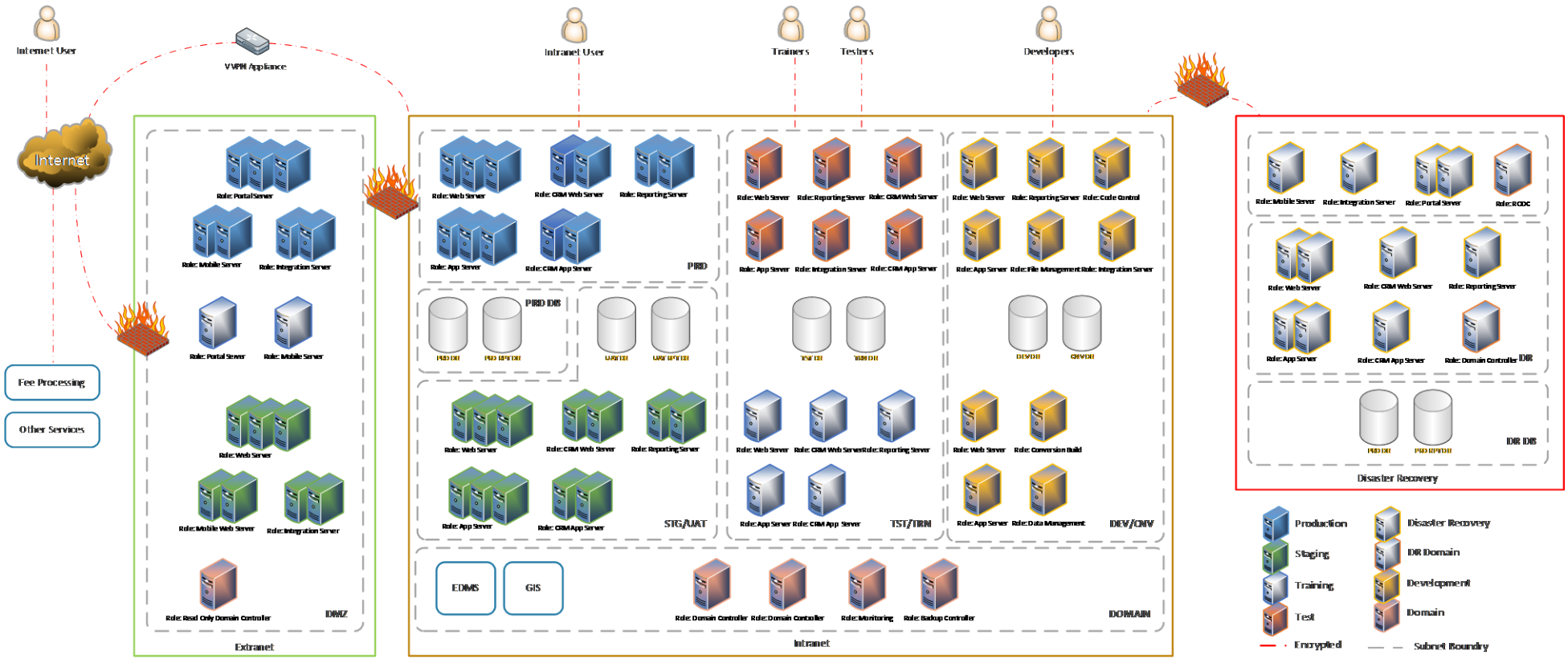

Exhibit 6-2: Conceptual Infrastructure Diagram of Hosted Solution

Access would be provided to RLMS applications via traditional secured and encrypted HTTP (HTTPS) access through either the general internet, state intranet or Citrix client. A conceptual diagram is provided above in Exhibit 6-2: Conceptual Infrastructure Diagram of Hosted Solution. It represents anticipated servers, data bases, subnets and network boundaries. The diagram represents a potential technology infrastructure as the selected solution will drive the actual infrastructure needs.

The conceptual infrastructure illustrates the environment isolation and definition of the various technical environments that are anticipated in the delivery of the overall RLMS solution. These environments include:

Domain – The domain environment supports the underlying and existing platform components such as authentication, network domain control, system monitoring and backup controllers.

DEV/CNV – Supports the development, configuration and unit testing of the core solution components, custom modules as required, system interface development, conversion programs and routines for the mapping and translation of legacy data.

TST/TRN – The Testing and Training environments support the system and integration testing of the overall functional components in the solution. The Training environment supports the delivery of training on the system components.

STG/UAT – The staging and user acceptance testing platform is a production mirror environment supporting the validation of pending releases, user acceptance of the pending release and performance validation of the solution prior to production release.

PRD – The production implementation of the solution.

Disaster Recovery – This environment provides the disaster recovery services to support the solution in the event of a catastrophic event or outage.

The Project Management Team will need to work closely with the Office of Policy and Budget (OPB) and the Agency for State Technology (AST) to ensure compliance with OPB and AST PM Standards.

3. Technical baseline requirements

Reliability, Availability, and Serviceability and Data Loss Prevention: The system should guarantee uptimes by function according to industry standards. Investigation systems must remain accessible 24/7 with built-in redundancy. Scheduled maintenance, patches, upgrades, and new release integration should require minimal time, effort, or downtime.

The system should provide industry standard safeguards to prevent loss of and ensure ongoing access to information.

Interoperability and interface support: The system should be compliant with industry standards for interoperability. The solution should support the data formats currently in use by the Department.

User access, account provisioning, and security: The system should support online access for internal and external users, including residents. The accounts should be compatible with Active Directory or Lightweight Directory Access Protocol (LDAP) provisioning services. The scope of access should be defined by user group and should support access to specific resident information according to staff responsibility and/or team assignment.

Technical environment: The system should be web-based, use the most current version of industry acceptable hardware and software, and rely on current industry standard coding/languages for programming. It should be accessible to end users through the Department standard browser. For most inspection activities, the solution will require a mobile capability in many cases without a consistent connection. The solution may have to be a hybrid of a disconnected mobile application utilizing a web connection for transmission and updates.

Device support: The system should provide comprehensive support for and compatibility with desktop and mobile devices, browsers, and associated operating systems. Accessing the new system will require additional laptops as detailed in Attachment 3 Cost Model Document. Full system functionality must be available with or without mobile device hardware.

4. Resource and summary level funding requirements for proposed solution

Resource requirements and summary level funding resource requirements for an enterprise regulatory system project are included in Appendix E: Cost Benefit Analysis Workbook. Further details surrounding the resource requirements can be found in Appendix H: Portfolio Analysis, Section 3.1.1 Hardware and Software Cost., as well as Appendix A: Business Case, Section 4.3.1 Option Alignment to Goals and Objectives. Operating costs and staffing requirements are included in Appendix C: Cost Model Document.

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

The objective of Capacity Planning is to verify any proposed solution will be able to not only absorb the current data stores and transaction loads but also provide the capability to grow with the future demands of the Department. The selected option will handle a user base of the 280 Full-Time Employees (FTE) of DoL with the capability to grow to 400 when incorporating DoA's FTE, also supporting an annual user increase of 10% with no loss service levels to account for future growth.

The specific capacity of the enterprise regulatory solution will be defined after the detailed requirements are documented and should be available at the end of the Pre-Data Documentation Initiative (DDI) phase. Having completed an initial analysis of the internal Department infrastructure and utilization, the resulting cost structure of the current systems in place continues to increase. These costs can be found in Appendix C: Cost Model Document.

It is expected that as more Divisions roll onto the enterprise regulatory system that the volume of transactions and workloads will significantly increase in future years. FDACS has recently experienced a large influx of regulatory responsibilities that its workforce must manage in the recent past; this trend is expected to continue as evidenced by DoL's historical and significant projected license growth in the next subsection.

This growth rate is just one example of many Divisions that are expanding in terms of regulatory administration and duties. These statistics are crucial in determining the efficiency rate of the Department's workforce. The employee efficiency rate heavily impacts the Cost Model's performance projections. The following subsections illustrate the rise in Department regulatory responsibilities and the potential diminishing service to consumers and agricultural businesses operating in Florida if operational efficiencies were not increased.

Division of Licensing Projection of Licensees and Required Staffing Growth

DoL administers a variety of licenses that include Concealed Weapons and Private Investigators. Over the last ten years, the average new license application volume increased by 14%; and over the past five years, this new license application growth rate was 7%.[38] Discussions with DoL staff confirm there are not available enhancements to their current systems and business practices which could be deployed to meet the expected future growth in license holders without increasing the number of FTEs.

Projecting a continued 7% annual growth rate in new license applications to future years and adjusting the projected actual renewals for the historical 65% renewal rate of eligible renewals,[39] would require an increase in DoL staffing levels as depicted in the following Exhibit.

[38] Appendix A: Business Case, Section 1.2.3.3 Division of Licensing Projection of Licensees and Required Staffing Growth.
[39] Appendix A: Business Case, Section 1.2.3.3 Division of Licensing Projection of Licensees and Required Staffing Growth.

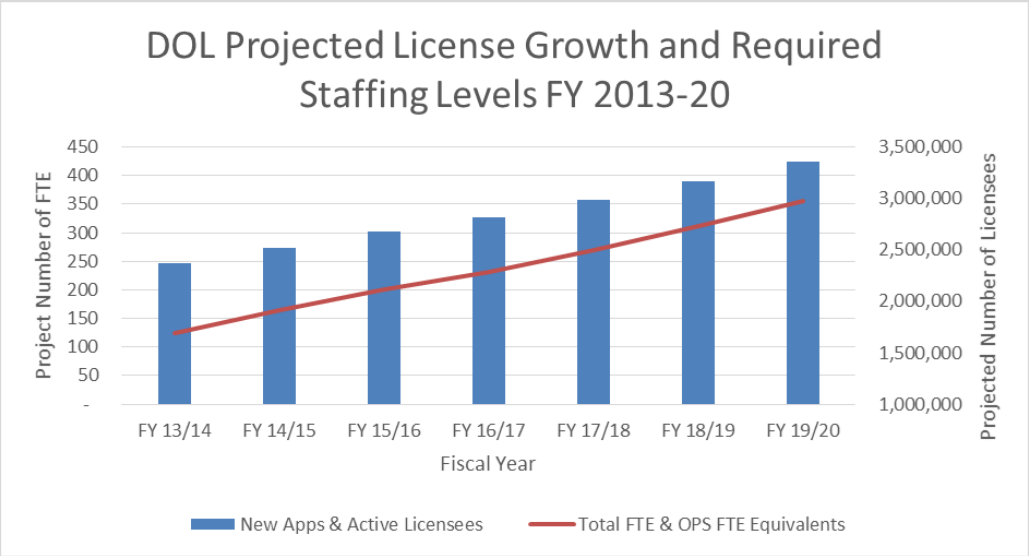

Exhibit 6-1: Projected Growth of DoL Licensees and Required Staffing 2013-2020

Division of Licensing Increase in Concealed Weapons License after National Gun-Related Catastrophes

As previously mentioned, the Division was unable to handle the significant spikes in processing license applications in the statutory mandated timeframes as a result of the 2008 and 2012 Presidential elections and the national gun-related catastrophes in 2009 and 2012. As a result of the 44% increase in applications in 2009, and the 35% increase in applications in 2012, DoL was unable to issue a license within the required 90 days. This four year period produced the highest annual year application totals in the 25-year history of Florida's concealed weapons licensing program.[40] These numbers are a constant reminder that DoL is only more national gun-related disaster away from experiencing an overwhelming spike in applications and workloads, rendering them incapable of performing their statutorily mandated duties.

Division of Consumer Services Historical Year-to-Year Complaints against Regulated Entities

A major regulatory responsibility of the Division of Consumer Services includes dealing with customer complaints. The Division of Consumer Services is responsible for management of complaints received by the Department, and must ensure that the complaints are evaluated, tracked, and resolved from origination to conclusion. Over the past five years, the number of complaints received has dramatically increased, thus causing higher workloads for employees. Since 2009, there has been a 24% average annual growth rate in complaints against regulated entities, and a 9% average annual growth rate in the total number of complaints received by FDACS. These numbers are supported by the Exhibit below.

[40] Florida Department of Agriculture and Consumer Services. Excel Document titled, "141010-DACS01-DivLicBenefits-v001," February 9, 2015.

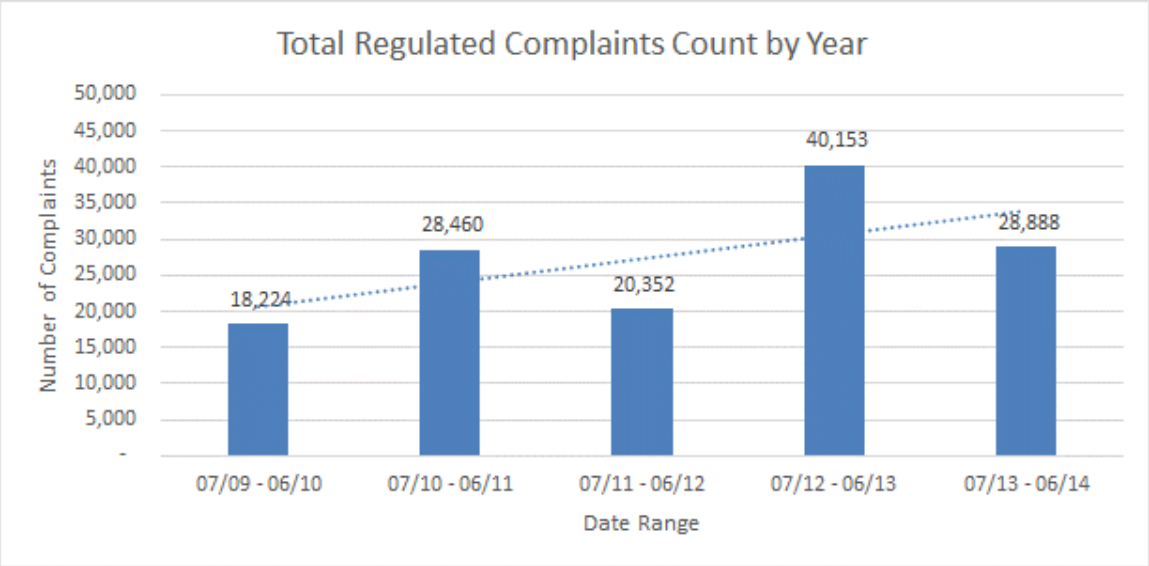

Exhibit 6-2: FDACS Division of Consumer Services Regulatory Complaints from 2009-2014

Additional figures surrounding the total number of complaints and unregulated complaints can be found in Appendix A: Business Case, Section 6.6. Further, specific types of FDACS regulated complaints such as No Sales Calls, Moving and Storage, and Fuel represent a few of the categories with the largest growth and are potential areas that would most benefit from a RLMS. The following numbers substantiate this need.

- No Sales Calls saw a 177% total increase in the number of complaints since 2009, with an average annual increase of 28%
- Moving & Storage Calls saw a 142% total increase in the number of complaints since 2009, with an average annual increase of 28%
- Fuel Calls saw a 398% total increase in the number of complaints since 2009, with an average annual increase of 672%

It is evident that these are large complaint increases, and could overwhelm FDACS FTE in terms of the sheer volume of work needed to resolve these complaints, particularly in the case of Fuel where there happened to be a major incident that drastically impacted the Fuel industry. The Department's goal is to address these areas of concern by instituting an intra-Division enterprise regulatory interface that will enhance communication within the Department and with its customers, eliminate redundant data and business processes, and increase operational efficiencies.

FDACS Historical Full-Time Workforce vs. Budget

In comparing the current full-time employee (FTE) workforce of FDACS with the Department's annual budget, there has been a steady annual increase of approximately 5.4% per year in appropriations for the Department. This 109% total budget growth is a result of the rising FTE regulatory workloads, as displayed in the Exhibit below.

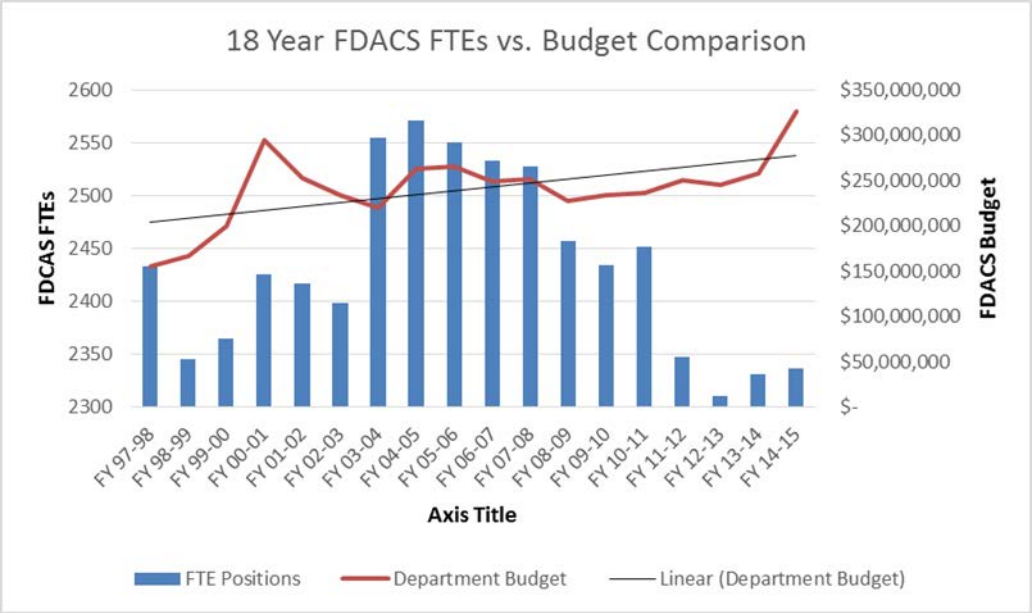

Exhibit 6-3: 18 Year Comparison of FDACS Full-Time Employees vs. Department Budget

In the following two Exhibits, from both the 5 and 10-year perspective for year-to-year percent change in FTE and Budget, there is a marked gap of 27% increase between FDACS' Budget and number of FTE's; a statistic that is continuing to grow due to the increasing volume of regulatory duties. As such, there is a strong need to close this growing gap between the appropriations and workforce by increasing the efficiency of the FTEs. The process and data standardization elements of a RLMS implementation would help to accomplish this goal in allowing for greater workload efficiencies for the FTE of FDACS.

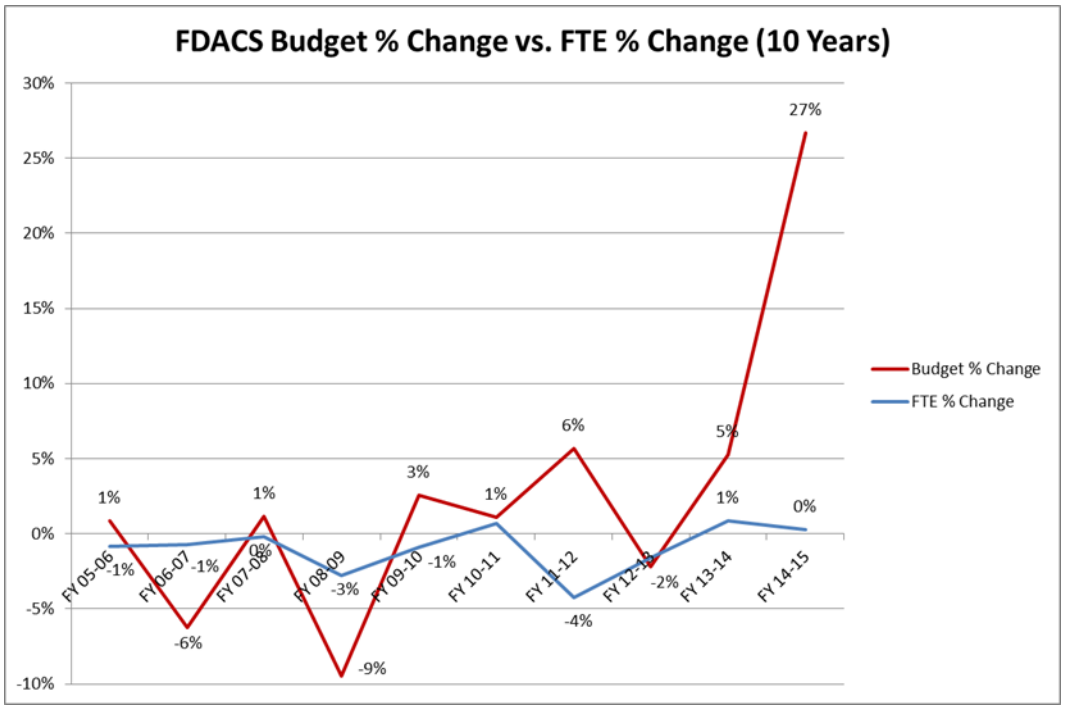

Exhibit 6-4: Comparison of FDACS' Budget and FTE Year-to-Year Percent Change (10 Years)

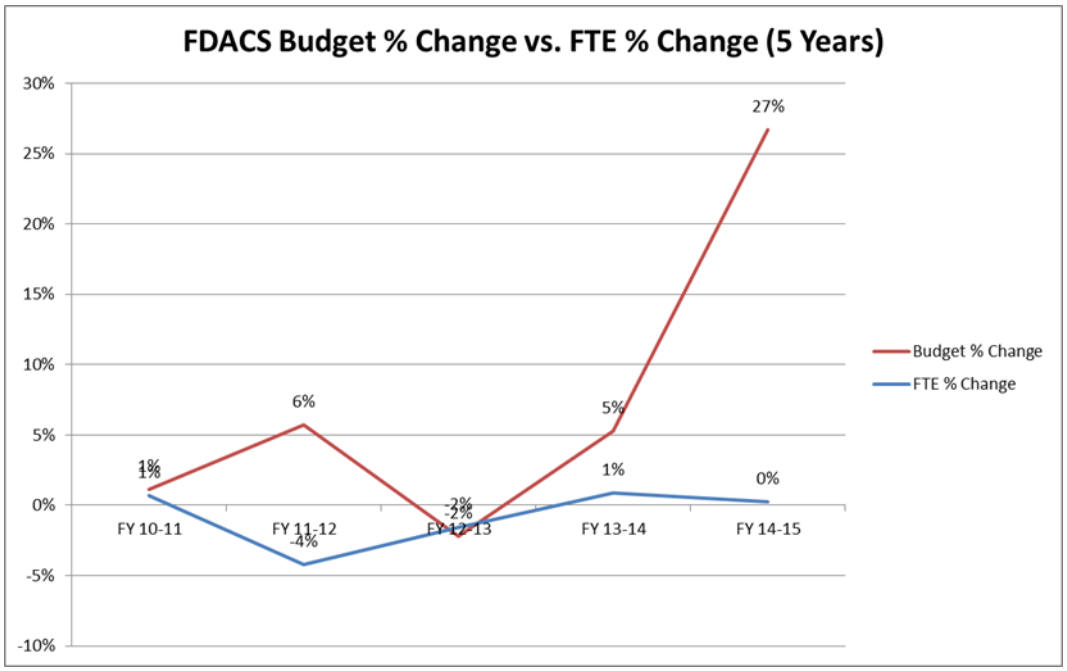

Exhibit 6-5: Comparison of FDACS' Budget and FTE Year-to-Year Percent Change (5 Years)

Additional details surrounding the FDACS' capacity planning and requirement projections can be found in Appendix A: Business Case, Section 1.2 and Appendix C: Cost Model Document.

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

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

The Department has successfully performed several large, complex, information technology projects using sound project management principals. The project management and planning for the RLMS project will follow the same guiding principles, in addition to the AST guidelines, which have been used to successfully manage and deliver projects in the past. The final draft of the following program charter is a deliverable to the Pre Design, Development, and Implementation (Pre-DDI) phase of the project. However, once a solution is procured, the system integrator, FDACS project management staff, and the IV&V consultant will complete a full review of the charter and all supporting materials. Subsequent updates during the review and revision to the program charter will allow FDACS to ensure success and further minimize risk to the program by leveraging past successes of the system integrator.

A. Program Charter

Purpose: To document the agreement between a project's customers, the project team, and key management stakeholders regarding the scope of the project and to determine when the project has been completed. It is the underlying foundation for all project related decisions.

The program charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the program purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the future of the program. It includes the following:

1. Program Name

This program is referred to as FDACS Regulatory Lifecycle Management (RLMS) project.

2. Purpose

The purpose of the project is to Develop and Release an ITN for a RLMS solution, Manage the RLMS Procurement and Selection, and Manage the Vendor Implementation. The total activities will occur over a four-year period that allows for quick realization of benefits. The benefits include the following:

- Enhance the customer experience in all interactions with or within the Department
- Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques
- Enable an enterprise customer service operation
- Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues

3. Objectives

This project will meet the following objectives:

- Research, design, develop and implement a streamlined renewal process across the Division in terms of their F.S. 790, 493, and other license types
- Streamline the concealed weapon/firearm license issuance process by enhancing the current "Fast Track" system in the regional offices to determine applicant eligibility at the time of application; when the applicant comes into the regional office, they will be given an error and omission letter for an incomplete application or, if staff determines the application to be complete, upon receipt of non-disqualifying criminal

history fingerprint results the system will automatically issue the license and submit it for print
- Research, design, develop, and implement a streamlined field administrative complaints system to be used by regional office investigators to support issuance of an administrative complaint while in the field.
- Research, acquire, design, develop and implement a next generation document management system to replace the current ORACLE IPM system

4. Project Phases

The proposed solution will consist of Development and Release of an ITN for a RLMS solution, Manage the RLMS Procurement and Selection, and Manage the Vendor Implementation. These activities will occur over a three-year period. The first year will include establishing the program team, performing detailed planning and reporting activities, and establishing a sound foundation for effectively managing the project. Subsequent years will include the procurement, design, development, and implementation of the RLMS for DoL and DoA.

5. Project Management

The Department will use the PMI's Project Management Framework to develop and maintain the Project Management Plan. The FDACS Project Manager and the implementation vendor will agree upon the appropriate aspects of the PMI framework for project management methodology. The Project Manager will be a certified Project Management Professional (PMP). The Project Director or Project Sponsor may consider changes to the methodology at any phase of the project, as deemed appropriate.

The following list the management and control mechanisms used to manage the project:

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

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

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

6. Project Scope

The scope of this project will include a significant business process analysis and requirements effort as well as the design, procurement, development, testing, user training, and implementation of a new business system.

Included in the Project Scope:

- Addition of the Program to the Project and Portfolio Management Office
- Organizational Change Management
- Independent Verification and Validation (IV&V)
- Data conversion and migration

- Data warehouse design and development
- Statewide system implementation
- Content development for training materials and system help screens
- End-user training
- Operations and maintenance planning
- Reporting functions

Exhibit VII-1 below summarizes the activities to support the System Implementation:

Activity	Description
Analysis	Validation of the system requirements collected during previous business process improvement and requirements gathering efforts.
Design	Joint Application Design sessions with end users, functional and technical design documentation, and user interface prototyping.
Buy or Build	Application configuration and system development, database development, data conversion, data migration, data warehouse development, unit testing, creation of help screens and development of an online user tutorial.
Test	Creation of test plans and test cases, and the performance of integration and system testing, user acceptance testing, and regression testing.
Deploy	Implementation planning and the deployment of the new system to a production environment.
Operations	Begins during the system implementation phase. The emphasis of this phase will be to ensure that the necessary equipment, staff, and procedures are in place to meet the needs of end users and ensure that the system will continue to perform as specified.

Exhibit VII-3: System Implementation Activities

7. Project Deliverables

Exhibit VII-2 contains a preliminary list of project deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected implementation vendor and will be appropriate to the technology solution chosen.

Name	Deliverable Description
Project Management Status Reports	Weekly status reports to project management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the Department's Legislative Budget Request for follow on releases.
Project Charter	Issued Project Sponsor that formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.

Name	Deliverable Description
Project Management Plan	Includes the following documents as required by the FDACS Project Director and/or the PPMO: ▪ Work Breakdown Structure ▪ Resource Loaded Project Schedule ▪ Change Management Plan ▪ Communication Plan ▪ Document Management Plan ▪ Scope Management Plan ▪ Quality Management Plan ▪ Risk Management Plan ▪ Risk Response Plan ▪ Issue Management Plan ▪ Resource Management Plan ▪ Conflict Resolution Plan ▪ Baseline Project Budget ▪ Comprehensive System Security Plan
As-Is Business Process Flows	Represents, graphically, the current state of the business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs and outputs.
To-Be Business Process Flows	Represents the future state of the business processes, as reengineered by the vendor in conjunction with FDACS subject matter experts. Develop process flows using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs and outputs.
Technical Design Specification	Detailed technical design for data and information processing in the new business system to include: ▪ Data Model/ERD ▪ Data Dictionary ▪ Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system integrator's design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision is submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design, to include detailed data conversion mapping and manual input priorities and procedures.
Knowledge Transfer Plan	Details the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation.
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that are used to implement OCM for the project.
OCM Status Reports	Weekly status reports to project management team.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.

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

Exhibit VII-4: Project Deliverables

8. Project Milestones

It is anticipated the project will be managed according to the milestones in Exhibit VII-3. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require Project Sponsor sign-off prior to commencing the next activity.

Milestone	Deliverable(s) to Complete
Legislative Approval	▪ Updated Schedule IV-B
Project Kick-Off	▪ Project Charter
Project Management Documents Completed	▪ Various (See deliverable list)
Business Process Analysis Completed	▪ As-Is Business Process Flows ▪ To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	▪ System Requirements Document
Project Management Documents Completed	▪ Various (See deliverable list)
Acceptance of Validated Requirements	▪ Validated Functional Requirements Document
Acceptance of User Interface Prototypes	▪ User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	▪ Functional and Technical Design Specification documents
User Acceptance Testing Complete	▪ NA
End User Training Complete	▪ On-site training sessions ▪ Training materials
System Deployment	▪ Functional system released into production
Project Close-out	▪ Lessons Learned ▪ Knowledge Transfer ▪ Contract Compliance Checklist ▪ Project Close-out Checklist

Exhibit VII-5: Project Milestones and Go/No-Go Decision Points

9. General Project Approach

The following activities are required to complete the FDACS RLMS Implementation:

1. Conduct RLMS Market Analysis (Complete)
2. Develop and Submit LBR for RLMS
3. Develop and Release ITN for RLMS Integration (for Vendor and System)
4. RLMS Procurement/Selection
5. Vendor Implementation
6. Execute the project
7. Monitor and control the project
8. Implement a comprehensive system to provide a modern Regulatory Lifecycle Management System for the Division of Licensing and the Division of Administration.
9. Deploy the system to trained users who are fully prepared to use the new system and are supported by on-screen help
10. Conduct knowledge transfer
11. Continued operations, administration and support of the system through the warranty period
12. Close-out the project
13. Operate and enhance the system throughout its service life

10. Change Request Process

Projects of this magnitude should expect change as the project progresses through the design, development and implementation phases. All change requests will be formally documented and validated by the PPMO and the Change Control Board (CCB). The CCB will be comprised of key project stakeholders according to the Change Management Plan. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request and its validation by the PPMO, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned and the request will be scheduled accordingly. Exhibit VII-4 illustrates the proposed change request process.

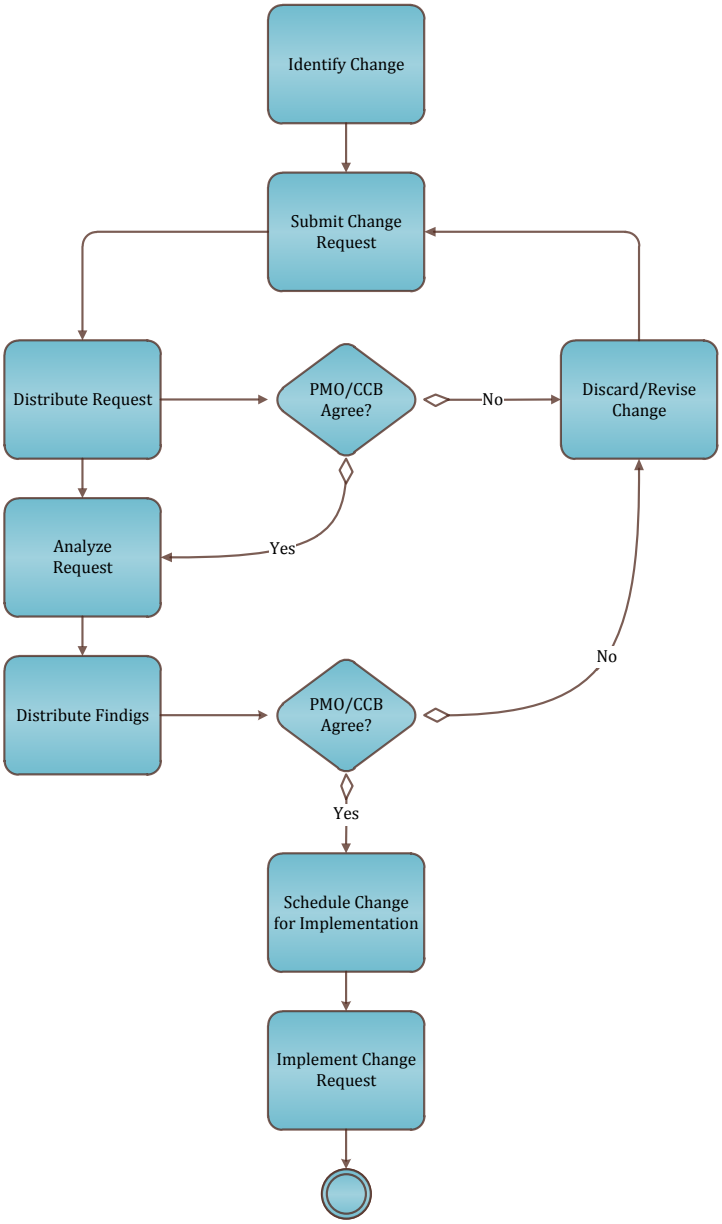

Exhibit VII-6: Proposed Change Request Process

B. Project Schedule

The final detailed project schedule will be highly dependent upon the technology solution chosen and finalized during the procurement phases of the project. The development of the actual detailed project schedule will be the responsibility of the FDACS project manager and implementation vendor(s). The Gantt chart in Exhibit VII-5 and the project schedule in Exhibit VII-6 represents the high-level activities and tasks for the project from Project Preparation phase through Solution maintenance phase.

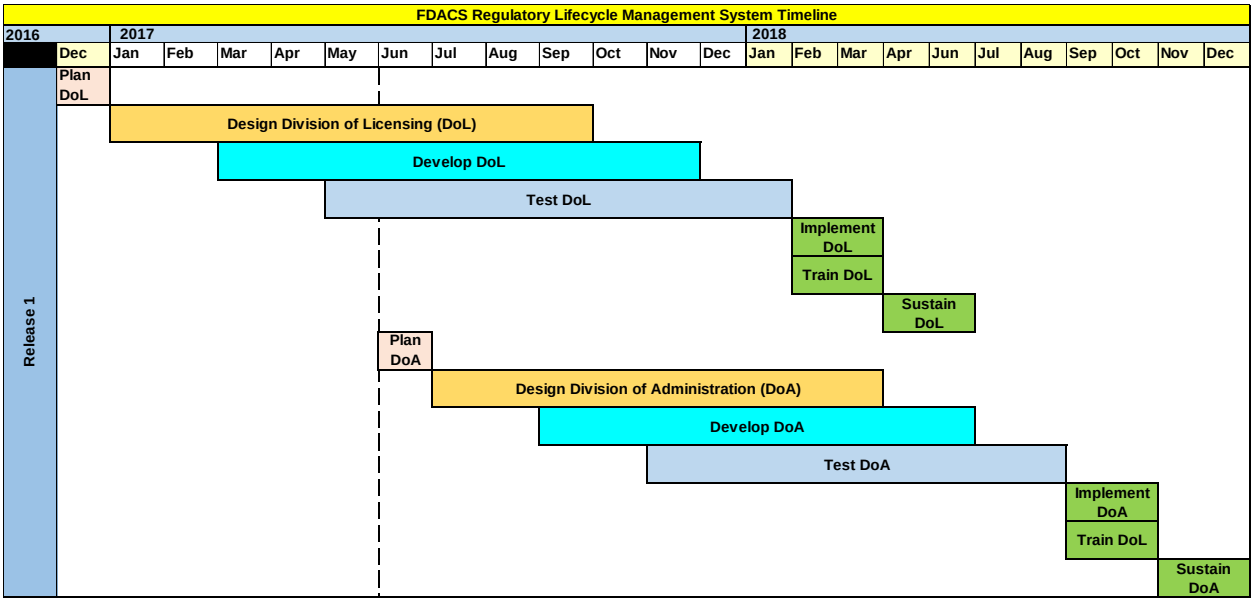

Exhibit VII-7: RLMS Project Summary Timeline

Task Name	Start
RLMS Project	**Thu 3/12/15**
Recurring Weekly Project Governance Meetings	**Mon 7/13/15**
RLMS Milestones	
FY15/16	
MILESTONE - Post ITN on the Vendor Bid System	Fri 3/25/16
MILESTONE - Close System and Data Strategy Contracts	Thu 3/12/15
MILESTONE - Post Proposal Opening to Vendor Bid System	Mon 5/9/16
MILESTONE - Post Evaluation Committee Public Meeting to the Vendor Bid System	Wed 6/1/16
FY16/17	
MILESTONE - Submit all Evaluation Scores to FDACS Purchasing	Wed 8/17/16
MILESTONE - Post Invitation to Negotiate to Selected Vendors	Tue 8/23/16
MILESTONE - Post BAFO Instructions	Mon 10/17/16
MILESTONE - Receive BAFO from Vendors	Mon 10/24/16
MILESTONE - Announce Recommended Award & Post Public Letter of Intent to Award	Thu 11/3/16
MILESTONE - Issue RLMS Vendor PO	Mon 11/28/16
Conduct RLMS Implementation Kick-off	Tue 1/10/17
FY17/18	

Task Name	Start
MILESTONE - Complete Design Phase of Division of Licensing Implementation	Wed 10/11/17
MILESTONE - Complete Development of the Division of Licensing Implementation	Thu 12/14/17
MILESTONE - Complete the Testing of the Division of Licensing Implementation	Wed 2/21/18
MILESTONE - Complete Design Phase of Division of Administration Implementation	Wed 4/4/18
MILESTONE - Cutover the Division of Licensing RLMS Implementation	Wed 4/18/18
MILESTONE - Complete the Development of the Division of Administration Implementation	Thu 5/31/18
MILESTONE - Gain final sign-off of the Division of Licensing Implementation	Thu 6/14/18
FY18/19	
MILESTONE - Complete the Testing of the Division of Administration Implementation	Fri 7/27/18
MILESTONE - Cutover the Division of Administration	Mon 9/24/18
MILESTONE - Gain final sign-off of the Division of Administration Implementation	Tue 11/20/18

Exhibit VII-8: High-Level Project Schedule

C. Project Organization

The Project Director heads the FDACS Project Management Team (PMT). The Systems Integrator Lead (or Project Manager) is a part of the PMT. This team will be responsible for day-to-day oversight of the project. In addition, the Project Management Team will work closely with the PPMO and the Agency for State Technology (AST) to ensure that sufficient external project oversight is established and maintained and to ensure compliance with PPMO and AST PM Standards.

For a project of this size and duration, the Department will implement a Program Team associated with the PPMO to maintain and execute project management plans created during the FY 15-16 Pre-DDI phase, monitor project issues and risks, and provide general support to the Project Director throughout the project. The Program Team will be staffed with multiple Certified Project Management Professionals.

The project business stakeholders include seasoned FDACS staff from core business areas. These key stakeholders will be instrumental in the design, development and testing of the new RLMS system and will assist in the review and approval of all project deliverables. The proposed project organization is illustrated in Exhibit VII-7.

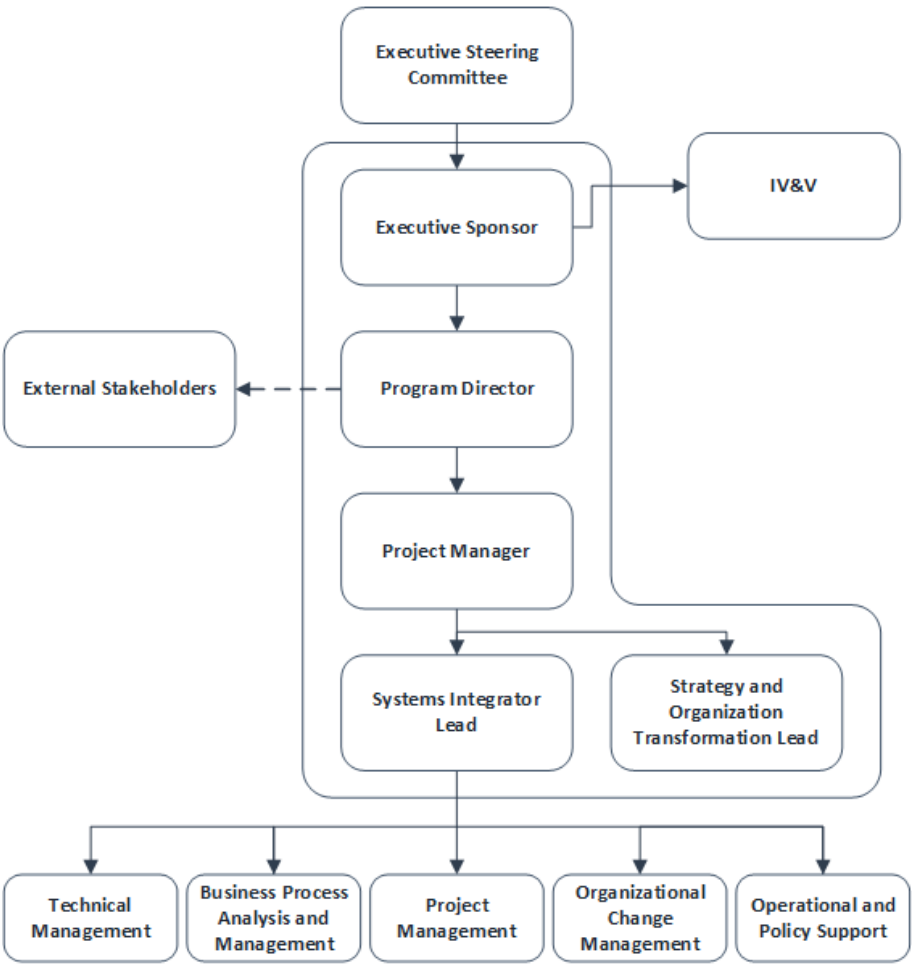

Exhibit VII-9: Proposed Project Organization

Exhibit VII-8 identifies roles in the project organization and a summary of their responsibilities.

Role Name	Description	Assigned To
Executive Steering Committee (ESC)	▪ Provides executive oversight to the project ▪ Supports the project vision ▪ Resolves escalated issues	TBD
IV&V Vendor	▪ Verifies that the system is developed in accordance with validated requirements and design specifications ▪ Validates that the system performs its functions satisfactorily ▪ Monitors project management processes and provides feedback on any deficiencies noted ▪ Reviews and provides feedback on project deliverables ▪ Presents to Executive Management team on IV&V activities	TBD

Role Name	Description	Assigned To
Executive Sponsor	▪ Has programmatic decision making authority ▪ Champions the project within the customer's organization ▪ Provides guidance on overall strategic direction ▪ Provides business resources for project success ▪ Has Programmatic responsibility for successful development and implementation of the project ▪ Facilitates communication with the Executive Management Team (EMT) ▪ Has IT decision-making authority ▪ Champions the project within the customer's organization ▪ Provides guidance on overall strategic direction ▪ Provides IT resources for project success ▪ Has responsibility for successful development and implementation of the project ▪ Facilitates communication with the EMT	FDACS- Chief Information Officer
Project Budget Officer	▪ Controls project budget ▪ Provides budget related input into project scope and contract change decision making process	Office of Policy and Budget
Project Director	▪ Has overall responsibility for the successful development and implementation of the project ▪ Oversees the development and implementation of the project ▪ Oversees the Project Management Office for the project ▪ Liaison with IT Sponsor for resources ▪ Liaison with Project Business Sponsor for business resources and day-to-day activities	TBD
Project and Portfolio Management Office	▪ Responsible for day-to-day project oversight ▪ Provides overall guidance and direction to the System Integrator ▪ Coordinates with the Project Director for resources ▪ Works with System Integrator Project Manager to ensure stakeholder needs are met ▪ Has daily decision making authority ▪ Oversees and manages project plan ▪ Facilitates the Business Stakeholders Committee ▪ Coordinates project resources, budgets and contract management ▪ Reviews and provides feedback on project deliverables ▪ Responsible for project management areas including scope, risk, quality and change control ▪ Coordinates project status communications ▪ Liaison with external agencies as needed to include AST	PPMO Manager
Project Business Stakeholders (*Small Group of internal and external stakeholders from FDACS and other agencies to include AST.)*	▪ Provides input on functional requirements ▪ Participates in project user group meetings and sessions ▪ Provides input on project activities ▪ Reviews and comments on project documents and deliverables ▪ Disseminates project information and updates to local internal/external stakeholders	TBD

Role Name	Description	Assigned To
Systems Integrator (SI) Project Manager	▪ Reports to the Project Director ▪ Works with the Project Management Office to seek guidance and direction; ▪ Responsible for systems integrator project management activities ▪ Leads the planning and development of project deliverables ▪ Develops and manages the project schedule and associated tasks ▪ Maintain all project documentation including detailed project plan ▪ Ensure adherence to the process and project management standards and guidelines ▪ Responsible for project management areas including scope, risk, quality and change control ▪ Prepares formal project reports and presentations ▪ Ensures deliverables conform to FDACS requirements and quality standards ▪ Facilitates project related meetings as required	SI Vendor

Exhibit VII-10: Project Organization Members - Roles & Descriptions

D. Project Quality Assurance

Purpose: To understand project quality requirements and ensure that effective quality control processes and procedures are in place and operational in time to support the needs of the project.

The project will follow the PPMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the project contract. Quality will be monitored and controlled by the Project Management Team and deliverables will be accepted only when the acceptance criteria have been met. The PPMO will provide oversight and assistance to the entire Project Team to ensure that standards are followed.

Project Area	Description
Development Standards	If applicable, the vendor responsible for design and development of the FDACS RLMS System will follow FDACS's programming and development standards.
Testing Management	The vendor will follow the established standards of the FDACS PPMO for Testing Management. This includes unit testing, integration testing, system testing, load testing and user acceptance testing.
Approval	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
Software Configuration Management	If applicable, the vendor will follow the established standards of the FDACS IT for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The FDACS PPMO will be involved in contract management. All contracts must pass executive and legal approval.

Exhibit VII-11: Quality Standards by Project Area

In addition to these formal areas of quality control, the following practices will be maintained during the life of the project:

- Peer reviews of artifacts
- Project team acceptance and approval

- Periodic project team meetings
- Project status meetings
- Periodic contractor, contract manager, project manager and project team meetings
- Change control management processes, including the creation of a change review and control board that provides representation for all affected stakeholders
- Robust requirements traceability processes
- Contract manager and FDACS Project Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing, to include business unit involvement in both planning for and participation in user acceptance testing.
- Risk Management and Mitigation

Quality will be monitored throughout the project by the PPMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure project quality control.

E. External Project Oversight

Purpose: To understand any unique oversight requirements or mechanisms required by this project.

A full-scale Independent Verification and Validation (IV&V) effort will be in place throughout the life of the project, starting in the FY 15-16 Pre-DDI Phase. The purpose of IV&V is to provide an unbiased review and assessment of the project to help ensure it is meeting its desired goals and adheres to internally documented or recognized industry standards and guidelines. IV&V will also verify the products or deliverables meet the stated requirements and are of high quality, that appropriate controls are defined and utilized, and that the stakeholders in the process are effectively involved and aligned. Specific objectives of the IV&V effort for this project will include:

- Providing validation that the implementation vendor:
  - Complies with the terms of the contract;
  - Performs and provides deliverables to the satisfaction of the Department;
  - Fulfills the technical and non-technical requirements of the contract;
  - Completes the project within the expected timeframe;
  - Demonstrates value and is committed to achieving the goals outlined by the Department;
  - Acts in the best interests of the Department and surfaces issues in a timely and comprehensive manner.
- Providing an independent, forward looking perspective on the project by raising key risks, issues and concerns and making actionable recommendations to address them;
- Enhancing management's understanding of the progress, risks and concerns relating to the project and providing information to support sound business decisions;
- Providing ongoing advice and direction to the Executive Management Team, the Project Director and FDACS Executive Leadership throughout each phase of the project.

In addition, the FDACS Project Management Team and IV&V vendor team will work closely with the PPMO and AST to ensure that sufficient external project oversight is established and maintained.

F. Risk Management

Purpose: To ensure that the appropriate processes are in place to identify, assess, and mitigate major project risks that could prevent the successful completion of this project.

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project.

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated and closed throughout the project lifecycle.

Risk Management Plan

All phases of the project will follow the standards defined by the PPMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed during the FY 15-16 Pre-DDI phase, and will be adhered to throughout all phases of the project. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear risk response strategies for each risk is critical to the success of the FDACS RLMS. The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project. It is recommended that the following checkpoints in Exhibit VII-10 be followed during the project:

Task	Recommendation
Risk Management Plan	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Project Director and Project Sponsor.
Risk Management Reviews	As part of a disciplined approach to addressing project risks, Risk Meetings should be conducted during the project lifecycle at a frequency not to exceed monthly. The frequency may increase, based on the cadence and relative risk exposure of the project.

Exhibit VII-12: Project Risk Checkpoints

G. Organizational Change Management

Purpose: To increase the understanding of the key requirements for managing the changes and transformation that the users and process owners will need to implement for the proposed project to be successful.

Effective Organizational Change Management (OCM) will be integral to the success of this project, and will be a critical success factor for ensuring staff participation in business process improvement, implementation and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the FDACS RLMS Implementation Project, OCM will be effectively implemented through communication, awareness, and training.

The Department will adhere to the standards of the PPMO for Organizational Change Management. A specific OCM strategy will be identified as detailed Organizational Change Management and Workforce Transition Plans are developed as a part of the FY 15-16 Pre-DDI project.

At a minimum, the following will be included in the final Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum
- OCM Communication Plan

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the project:

- Organizational Change Manager (a member of the project management team dedicated to OCM)
- FDACS Project Manager
- Project Sponsor
- FDACS Executive Management

H. Project Communication

Purpose: To ensure that effective communication processes are in place to disseminate information and receive feedback from users, participants, and other project stakeholders to facilitate project success.

All phases of the FDACS RLMS Implementation Project will use communication methods proven to be effective on large-scale IT implementations, and will follow the standards developed by the PPMO. These will include a communication plan, a formal project kick off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular review and evaluation of project issues and risks, periodic project evaluation, regular system demonstrations and reviews, and a project artifact repository.

Disseminating knowledge among stakeholders is essential to the project's success. Project sponsors, core project team members, and key stakeholders must be kept informed of the project status and how changes to the status affect them. The more people kept informed about the progress of the project, and how it will help them in the future, the more they will participate and benefit.

At this time, the specific communication needs of project stakeholders and the methods and frequency of communication have not been established. Pre-DDI activities occurring in FY 15-16 include the development of a detailed Communication Plan outlining the requirements for effective communication methods and how they will be implemented. These requirements will include project kick off, regular status meetings, regular status reports, regular review and evaluation of project issues and risks, milestone reporting, periodic project evaluation, regular product demonstrations and reviews. Other communications mechanisms such as web-based discussion boards, a project website, and other innovative approaches will be considered. It is expected that the Communication Plan will be adhered to and will receive updates as applicable during the life of the project.

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix	Description
A	Business Case
B	Master Regulatory Systems and Programs Document
C	Cost Model Document
D	Benefits Realization Table
E	Cost Benefit Analysis Workbook
F	Risk Assessment
G	Implementation Plan
H	Portfolio Analysis
I	Success Criteria

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WORLDWIDE CONSULTING

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

REGULATORY LIFECYCLE MANAGEMENT SYSTEM (RLMS) STUDY PROJECT

RLMS Business Case

Date:	9/14/2015
Version:	V016

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Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
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10/6/14	North Highland	002	Internal Review
10/10/14	North Highland	003	Additional Review and Market Trends Section Addition
10/15/14	North Highland	004	North Highland Review
10/27/14	North Highland	005	North Highland Updates of FDACS Review and Comments
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2/17/2015	North Highland	013	Revised draft
2/19/2015	North Highland	015	Revised draft
9/11/2015	North Highland	016	Revised Draft

Quality Review

NAME	ROLE	DATE
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SECTION 1 BACKGROUND AND STRATEGIC NEEDS ASSESSMENT

The State of Florida Department of Agriculture and Consumer Services (FDACS or Department) is responsible for a broad range of services and regulatory responsibilities across its twelve Divisions and twelve Offices. In order to support these services and regulatory responsibilities there are systems that provide administrative functions including revenue collection for invoices and fees for licensing for concealed weapons, private investigative recovery, and security industries; environmental services related to feed, seed, fertilizer, and pest control licensing, use and compliance; and consumer services licensing/registrations involving more than a dozen different industries. The current system environment includes:

- 68 systems (80% custom, 20% COTS with varying customization)[1]
- 12 systems support multiple regulatory types (certification, license, permit and registration)
- 29 support a single regulatory program

The Department selected North Highland to complete a feasibility study in evaluating the Department's technical options for a modern enterprise Regulatory Lifecycle Management System (RLMS) solution in accordance with the approval of the request in 2013 Exhibit D-3A: Expenditures by Issue and Appropriation Category.

As a result of the Feasibility Study, a complete Schedule IV-B is required to be submitted with any Legislative Budget Request (LBR) for any IT project with a total lifecycle cost in excess of $1 million. The mapping to the Schedule IV-B is as follows:

PROJECT DELIVERABLE	SCHEDULE IV-B SECTION
Regulatory Processes Portfolio Analysis	Section II - A, Requirement 1 and 2 Section VI - A and B
Business Case Analysis	Section II - B and C Section VI - C
Success Criteria	Section III
Benefits Realization and Cost Benefit Analysis	Section IV
Risk Assessment	Section V

[1] Includes some modules within the total system count.

Exhibit 1: Project Deliverables to Schedule IV-B Mapping

1.1 Department Background

According to the Florida Constitution in Article 4/Section 4(d) and Chapters 20.14/570, Florida Statutes, the mission of the Florida Department of Agriculture and Consumer Services (FDACS) is to safeguard the public and support Florida's agricultural economy. In order to fulfill this statute, the Department is required to perform regulatory and inspection services relating to agriculture, and in accordance to the 507.07(2), Florida Statutes. The following twelve Divisions and twelve Offices that comprise the Department carry out this directive.

Divisions	Offices
Division of Administration	Office of Agricultural Law Enforcement
Division of Agricultural Environmental Services	Office of Agricultural Water Policy
Division of Animal Industry	Office of Cabinet Affairs
Division of Aquaculture	Office of Communications
Division of Consumer Services	Office of Energy
Division of Food, Nutrition, and Wellness	Office of Agriculture Technology Services
Division of Food Safety	Office of External Affairs
Florida Forest Service	Office of Federal Affairs
Division of Fruits and Vegetables	Office of General Counsel
Division of Licensing	Office of Inspector General
Division of Marketing and Development	Office of Legislative Affairs
Division of Plant Industry	Office of Policy and Budget

Exhibit 2: FDACS Division and Office Entities

In addition to the Department's strict adherence to the section 507.07(2), Florida Statutes, the Divisions that uphold regulatory processes also must observe relevant Florida Statutes. These regulatory Divisions and Offices are listed in conjunction with their related Florida Statutes below.

Division/Office	Florida Statute
Division of Administration	570
Division of Agricultural Environmental Services	388, 482, 487, 576, 578, 580
Division of Animal Industry	534, 570.36, 570.38, 585, 585-II, 828.29, 828.30

DIVISION/OFFICE	FLORIDA STATUTE
Division of Aquaculture	597, 253, 379
Division of Consumer Services	472, 496, 501, 507, 525, 526, 527, 531, 559
Division of Food, Nutrition, and Wellness	570, 595
Division of Food Safety	500, 501, 502, 503, 504, 531, 583, 586, 601
Florida Forest Service	253.036, 570, 589, 590, 591
Division of Fruits and Vegetables	500.70,570, 600, 601.29, 601.61, 603
Division of Licensing	493, 790, 776
Division of Marketing and Development	570, 571, 573, 616
Division of Plant Industry	570.32, 581, 586, 593
Office of Agricultural Law Enforcement	570
Office of Agricultural Water Policy	373.407, 373.4595, 403.067, 570.07, 570.0705, 570.074, 570.076, 570.085, 576.045, 582.06, 582.08

Exhibit 3: FDACS Divisions and their Relevant Florida Statutes

The Department drafted its Long Range Program Plan (LRPP) in 2014 and it outlines the priorities and goals needed to fulfill the Department's mission of protecting the public and supporting Florida's agricultural economy. Summaries of such initiatives include:[2,3]

- Increasing the production and sale of Florida's agricultural products
- Inspection programs ensuring the safety and availability of wholesome food and other consumer products
- Encouraging the responsible use and management of natural resources
- Ensuring fair and open business practices for consumers
- Providing consistent and easy consumer access to information
- Assisting Florida's agricultural industry and businesses with the production and promotion of agricultural products
- Preventing proliferation of potential harm to agricultural lands and businesses

[2] Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2015-16 through Fiscal year 2019-20 (Tallahassee, FL, 2013), pages 20-21.
[3] Florida Department of Agriculture and Consumer Services. RFQ/OATS-14/15-06, 2014 (Tallahassee, FL, 2014), page 2.

- Promoting environmentally safe agricultural practices

Supplementary to the goals listed within the Department's LRPP, FDACS has also recently identified vital initiatives. These include:

- Protect consumers by more efficiently issuing private security, investigative, recovery, and concealed weapons licenses to eligible individuals and businesses
- Research, design, develop and implement a streamlined renewal process across the Division in terms of their F.S. 790, 493, and other license types
- Further develop and expand paperless capabilities to process revenue and disbursements; integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information
- Improve the timeliness and consistency of Division's and Department's response to customer requests or complaints with a unified customer relationship management (CRM) tool
- Enhance the Emergency Response capabilities of the Department in reaction to pest invasions, natural or manmade disasters, or disease outbreaks

In addition to these priorities, FDACS also understands the value of strategic insight into the trends and conditions that it could benefit from in the future, and acknowledges the practices that would best align with those trends. Of the priorities outlined in the LRPP, some of the regulatory functions identified include: [4]

- Automated and paperless application, registration, and licensing requests
- Cost-sharing programs that offer financial incentives to agricultural businesses to use Best Management Practices (BMP) systems
- Preemptive deployment of personnel to mitigate potential risk to the public and agricultural industry
- Food testing and agricultural commodity tracking systems
- Advanced data management and imaging technology at interdiction stations

A number of these practices are critical to the ongoing success of the Department, and as a result, there is now an ever-present need for increased efficiencies across all of the Divisions. This remains a high priority for the Department.

[4] Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2014-15 through Fiscal year 2018-19 (Tallahassee, FL, 2013).

Complementing the visions outlined in the LRPP, the 2013 IT Strategic Plan expands on the need for improving the Department's regulatory abilities with constantly-improving technologies. Striving to fulfill Commissioner Putnam's stated ambition of leveraging new technologies to further improve the Department's service functions and better serve its constituents, the Office of Agriculture Technology Services (OATS) has put an emphasis on Application Development, IT Procurement and Support, and Master Data Management in order to centralize application platforms and provide a one-stop-shop for end-user support. Better summarizing these forward-looking Department competences, the vision statement from the 2013 IT Strategic Plan states:

> *"In consideration of a five-year outlook, the Florida Department of Agriculture and Consumer Services will transform its information technology resources to create a cohesive, agile, and innovative environment able to best serve the public, our regulated entities, and our employees."*[5]

In line with these objectives, and in order to realize the overarching Department mission, each individual Division is responsible for administering a number of differing regulatory functions. Due to the fact that FDACS governs a wide variety of diverse industries, not every Division administers similar regulatory processes akin to some of their peer Divisions. In fact, all of the documentation and literature surrounding each Division's process flow diagrams, functional requirements, system design and architecture, data structure, and operating procedures show that no two Divisions govern the exact same set of regulatory processes. Nevertheless, there are many common, core regulatory functions that the Department regulates.

The primary regulatory functions of a RLMS are application, licensure, compliance, inspection, and enforcement. The definitions of each function are as follows:

- Application: evaluation of an applicant's credentials to determine if the minimum compliance requirements are met for licensure
- Licensure: status determination for an authorization, license, renewal, certification, registration, or permit within a Division of the Department
- Compliance: fulfillment and maintenance the compliance requirements for duration of licensure
- Inspection: investigation in support of the regulatory requirements of individual programs
- Enforcement: official evaluation of complaints, on-site inspection reports, unlicensed activity, and administrative reports to ensure they remain within Florida's regulatory statutes and administrative rules

[5] Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), page 6.

These regulatory functions, and their supplementary key practices and procedures are listed in the Exhibit below. It is these regulatory processes that FDACS needs to streamline across all of its Divisions and Offices with the implementation of an enterprise Regulatory Lifecycle Management System.[6]

Exhibit 4: Regulatory Lifecycle Management System Framework

The North Highland team received and reviewed Department literature, regulatory system inventory lists, business process flows, and other related material in collecting and cross-referencing data points across the Divisions and as a Department. In addition to the documents received by the North Highland team, they also conducted a Strategy Articulation Session with members of the IT Governance Committee, as well as data-gathering sessions with every Division and a number of Offices within the Department. These sessions helped to provide further insight to the current state of affairs within each Department entity, particularly around the areas of hardware/software environments, data sourcing and volumes, data flow/architecture, issues/barriers/opportunities, future state requirements, and the potential RLMS roles within the business process. The intelligence collected from the documents, process flows, and strategy and data gathering sessions has helped validate the business need of FDACS for an enterprise Regulatory Lifecycle Management System project.

The ultimate goal of the Department is to transition to an enterprise RLMS for use by every Division to perform their core regulatory functions. Based on North Highland's research and

[6] Further details surrounding these supplemental procedures within each process is listed in Appendix 1.

analysis of all surrounding documentation, system requirements, and internal objectives, it is recommended that FDACS look to implement a regulatory system modernization for the Division of Licensing (DoL) and all of its applications, then replace the Division of Administration's (DoA) Revenue Receipt Accounting (REV) system. Once the system is successfully designed, implemented, and running for DoL and DoA, the Department will then look to add on the outstanding Divisions to the new system.

Once the system is designed and approved, the Department will map the remaining Divisions business processes to the new system. This effort will increase engagement with Divisions other than DoL and DoA by keeping them involved in the RLMS effort prior to when their business processes will be directly impacted. The Divisions will also provide direct input via surveys and focus groups on the core regulatory model being developed for enterprise use by all of FDACS.

1.2 Business Need

In January 2013, Commissioner Putnam hosted a retreat for FDACS Senior Management in order to cultivate Department-wide objectives. It is from this retreat that the need for greater efficiency, better risk management, and executive decision support and analytics originated. The Department wanted to provide a much more engaging, reliable, and user-friendly experience for their customers.[7]

1.2.1 2013 FDACS Work Group Report

The FDACS Work Group Report, 2013, was developed to provide additional context surrounding the results of the FDACS Senior Management retreat. The three main areas of focus were Inspector Standardization, Customer Service, and Compliance Consistency.

1.2.1.1 Inspector Standardization

The Inspector Standardization Work Group focused on the evaluation of the current inspection business process and best practices in consolidating the eight inspection groups into one Department team. While not all of the Divisions participated in the Work Group, the ones that did found that inspection data is stored in 28 different databases on six diverse software platforms across eight Divisions, and that five of these eight Divisions are seeking to update their old systems with new applications.[8] The number of varying systems identified would have likely been higher with full Department participation. The Senior Management team also

[7] Florida Department of Agriculture and Consumer Services. RFQ/OATS-14/15-06, 2014 (Tallahassee, FL, 2014), page 2.
[8] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 13.

established a need for a systems solution that would coordinate the inspections between multiple Divisions, bolster internal database communication, retain standardized electronic documents and materials, and cross-train inspectors.[9] The standardization of inspector processes is an urgent business need as the Department oversees 48 different Division-specific trainings among their respective Bureaus.[10,11] The Department has a need for a systems solution and standardized processes that will enable an enterprise-wide training structure, while utilizing the inspector resource time more efficiently.

> *"Other than New Employee Orientation (NEO) and Department Supervisory Standards Training (DSST), no required agency-wide training for inspectors has been developed, maintained or tracked."*[12]

Given this set of circumstances, the Department has needs for a systems solution and standardized processes that will enable an enterprise-wide training structure, while utilizing the inspector resource time more efficiently.

1.2.1.2 Customer Service

With the goal of improving the FDACS customer experience and reducing the number of touch points with the Department, the Work Group found that their customer service could be improved by a system that provided the following capabilities.[13]

- Online log-in, registration, and payment with a single identity/customer number
- Searchable database of historical compliance and enforcement activities of regulatory programs
- Industry database for consumer products and agri-tourism
- Access to Department information

1.2.1.3 Compliance Consistency

Considering that it manages approximately 144 different licenses, registrations, permits, and certifications,[14] the Department has determined their compliance consistency could be

[9] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 3.
[10] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Pages 9-10.
[11] List of Division trainings can be found in Appendix 6.6.
[12] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 13.
[13] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 3.

improved through the standardization of rulemaking, licensing, and final orders, developing a one-stop-shop for customers with the potential for a self-certification capability, and consolidation of license issuance efforts.[15] By consolidating and improving the consistency of the license issuance efforts, a centralized application system will help reduce the number of software applications and duplicative data, improve application processing times, and lessen the burden of front-end users accessing the application system.[16]

1.2.2 CHALLENGES

Impeding these goals was the reality that the regulatory applications currently in place utilize differing technologies, design methodologies, and interfaces. Stemming from a previous lack of IT governance, there are multiple databases that are unique to specific Divisions, and operate without centralized, enterprise oversight within the Department. Moreover, a number of these systems were created for specific Division programs over a decade ago with differing support requirements and end-of-life time frames with no strategy to facilitate uniform data across the Department. All of these siloed database environments produce duplicated and redundant data across the Divisions, creating a challenging environment to effectively communicate regulatory information among Divisions.

Similar to DoL, other Divisions within the Department have inadequate systems in place that pose inherent risks to the Department, as they could potentially be exposed to threats from a lack of maintenance and support coverage. Given the variability and complexity of each Division's systems, the costs associated with maintaining the status quo in terms of the upkeep and maintenance of each Division's independent systems may be greater in sum than housing all of the applications on a new regulatory system.

Overlying these current systems issues, the Department has also identified three key strategic challenges. First, the proliferation of redundant Division and Office processes and supporting systems exposes the Department to operational risk, which then increases the Department's administrative and support costs, while decreasing its operational efficiency and effectiveness. Second, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology. Last, from an external perspective, weather forecasts, commodity market reports,

[14] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 32.
[15] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 32.
[16] Florida Department of Agriculture and Consumer Services. FDACS Work Group Report, 2013 (Tallahassee, FL, 2013). Page 32.

disease outbreaks, and international political conflicts require the Department to make constant operational course corrections.[17]

From an implementation perspective, a project of this nature and scope will have planning, design, and execution risks. In order to mitigate these risks, quality assurance procedures, including in-progress checkpoints and deliverable reviews, will be woven into the day-to-day operations of the Project's project management activities to help ensure the project adheres to the implementation schedule. Ongoing issue management and risk assessment protocols will be upheld during project status reviews in order to mitigate potential setbacks. Effective upward communication from the FDACS PPMO to key stakeholders and Governance entities is key to providing up-to-date project status reports, offering accurate and best judgment risk and issue assessments, and actively managing expectations. Similarly, effective downward communication to the Project team is essential to building a teamwork culture and communicating expectations which will shape the success of the Project.

Having FDACS Executive, Steering Committee, and Governance support, a dedicated project team, and built-in checkpoints will help guide the Department towards success in implementing a new regulatory system and delivering value to the Department.

1.2.3 DIVISION OF LICENSING

Pursuant to Chapter 493, F.S., and Section 790, F.S., DoL must license and regulate the private investigative, recovery, and security industries, as well as license qualified individuals to carry concealed weapons or firearms for lawful self-defense, respectively. These obligations are in no way menial. As of January 31, 2015, DoL had 182,450 Private Investigation, Recovery, and Security licensees, and 1,355,792 Concealed Weapon or Firearm licensees, for a total of 1,545,242 licensees, the highest number of licenses administered by any Division.[18]

In addition to a final license issuance determination, DoL has a number of supplementary responsibilities that include:

- Review applications for statutory compliance
- Review criminal history records provided by the FDLE, the FBI, and other law enforcement agencies to assure applicants and licensees meet statutory standards
- Issue licenses to qualified persons
- Deny licensure to unqualified persons

[17] Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2014-15 through Fiscal year 2018-19 (Tallahassee, FL, 2013), page 17.
[18] Appendix C: Chapter 2, Section 1.2.3 Division of Licensing.

- Conduct proactive enforcement activities
- Conduct scheduled compliance inspections
- Conduct complaint investigations
- Issue letters of denial, notices of suspension, and administrative complaints
- Conduct informal hearings
- Issue final orders and handle all appeals

Other surrounding processes that accompany licensing 26 different license types and the resulting large volume of licensees is extraordinary in that it currently involves a number of manual and paper-based entries, multiple fact and background verifications, payment processing and reconciliations, and a final license issuance that all require significant time, workforce effort, and costs. The licensing process timeframe must take no longer than 90 days in accordance with State statutes. Presently, DoL is operating at a 96% issuance rate for these license types,[19] and would like to gain one percent in their license issuance rate per year over the next four years.[20] Significant time, process, and cost-saving efficiencies can be gained with the implementation of a new enterprise regulatory application with a revenue management component that will help the Division reach this goal.

In 2009 and 2012, the U.S. population experienced tragic gun-related catastrophes. As a direct result of the Fort Hood shooting in 2009, and the Sandy Hook Elementary School shootings in 2012, thousands of U.S. citizens applied for Concealed Weapons Licenses (CWL). In the State of Florida, DoL, who oversees all CWL, saw an increase of 51,175 applications in 2009, a 44% increase from the year prior, and a 35% increase of 52,405 applications in 2012, resulting in a total of 204,288 CWL for 2012 that needed approval.[21] 2008 and 2012 also saw a vast increase in demand for CWL due to the Presidential elections and its accompanying political climate. These four fiscal years produced the highest annual year totals in the 25-year history of the Florida's concealed weapons licensing program.[22] Such national catastrophes put the Division in a major bind in terms processing license applications, as they were unable to meet the statutorily mandated timeframes given the large volume influx and the old legacy licensing applications. The Division is only one more national catastrophe away from experiencing these extraordinary spikes in license applications, and would be better prepared to handle such situations with a new enterprise regulatory system with a revenue component.

[19] Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2015-16 through Fiscal Year 2019-20 (Tallahassee, FL, 2013), page 27.
[20] Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2015-16 through Fiscal Year 2019-20 (Tallahassee, FL, 2013), page 27.
[21] Appendix C: Chapter 2, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.
[22] Appendix C: Chapter 2, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.

1.2.3.1 DIVISION OF LICENSING BENEFITS FROM A NEW ENTERPRISE REGULATORY SYSTEM

The implementation of a new enterprise regulatory system that houses all of DoL's applications will produce a number of benefits for its customers, the Division, and the Department, as a whole. Such benefits will materialize through improved customer service, client satisfaction and ease-of-use, correspondence cost savings, and license process efficiency gains.

DoL has a pressing need for implementing a new regulatory system for all of its applications, as their current ORACLE-based system is approaching its end-of-life and its contract will expire on12/31/15. At the end of the 2015 calendar year, the Oracle Application support coverage will expire and leave the Division exposed to potential threats and without the capability of receiving system maintenance and updates. A new enterprise regulatory system for DoL will not only provide the Division with the security, updates, and most modern licensing technology, but it would also house all of the various licensing applications on one system. This would be a key benefit, as it would replace the various legacy systems. Having one system for all applications, instead of one for each custom licensing applications, would reduce the workloads of internal employees, as they only have to operate one system, thus boosting their productivity.

DoL stands to gain numerous benefits from enhancing their online service offerings for their Ch. 493 and Section 790 applicants. A new online service system will be able to eliminate a number of the current paper processes regarding the printing, scanning, and mailing of relevant documentation, saving the Division time and paper processing costs. As a direct result of this reduction in manual processing and paper costs, the State legislature would then have the opportunity to decrease the fees associated with the various licenses that they regulate, if they so choose. The potential reduction in fees, in conjunction with easier online registration and payment, could help to bolster the Division's license renewal rate which would result in a further increase to the Division's already substantial generated revenue of approximately $26.2 million for the 2013-2014 fiscal year.[23]

Payment/fee collection is one area related to customer experience that could stand to benefit from an improved revenue management system. Currently, the State's Divisional regional offices do not have credit card swiping capabilities. Applicants must go to the regional office counter and sit down with an agent to manually enter and submit their credit card information. Given the desire for agents to not enter confidential customer payment information for security purposes, and to facilitate a one-stop-shop user experience, this is a licensing process that can be streamlined through the credit card payment feature of a new regulatory system with a revenue management component.

[23] Appendix C: Chapter 2, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.

The customer-facing applications of a new system will allow potential licensees to upload, store, complete, and submit all of their applications, thus saving time, paper, and processing costs, while also enhancing their customer experiences. Specifically, in terms of a license renewal, if the required standards are met based off of previously uploaded and retained customer information, then a renewal will be issued automatically, and no additional processes will be needed. While the Division has done well to reduce their license processing timeframes, a new, state-of-the-art enterprise regulatory system would help to further reduce these licensing timeframes from what is currently a matter of weeks or even months to potentially just a few days.

Relatedly, external users of a new regulatory system stand to gain benefits in terms of customer experience and satisfaction. A common user complaint about the Division's site was that it does not allow customers to track the status or timeline of their application. In addition to quicker license processing times and determinations, the new system will allow customers to better track and know the status of their applications as it makes it way to final determination. Customer interactions will also be better addressed and responded to quicker with the implementation of a unified Service Desk through the new system's customer relationship management (CRM) tool. The overall customer experience will be further enhanced with the aforementioned one-stop-shop functionalities that include credit card processing and online payments for multiple licenses, document upload capabilities, user-profile retention, and the CRM tool.

With specific reference to the Division's oversight of Florida Statute (F.S.) 493, the regulation of private investigators, security industries, and recovery industries, DoL would also benefit from the enhanced functionalities of an enterprise regulatory system with a revenue component. The DoL's Bureau of Regulation and Enforcement operates at eight regional offices throughout the State, and perform the following regulatory activities.

- Conduct proactive enforcement activities
- Conduct scheduled compliance inspections
- Conduct complaint investigations
- Administer qualifying examinations for Firearms Instructor and Private Investigator licensure

Given the wide breadth and depth of the DoL's license offerings, DoL has pinpointed several requirements that will assist in the enhanced delivery of their services. These include:

- Data security and segregation given the confidentiality of concealed weapon licensee information
- Removal or modification of legislative mandate(s) where feasible to improve initial or renewal application processing efficiency
- Document and file retention for their fingerprint filing

- Assimilation of historical customer demographic data across all various license types
- Dashboard navigation
- Automation of manual and paper processes
- Case management
- Document management
- Customer relationship management (CRM) tool to better respond to customer interactions
- Data cleansing and migration tool
- Emergency Response support

An enterprise regulatory system with a revenue component would help provide further process efficiencies and workforce productivity regarding the regulatory actions of licensure, compliance, inspection, and enforcement services for not only DoL, but the rest of the Divisions in eventually incorporating the rest of them onto this system.

1.2.3.2 Division of Licensing Revenue Management Component

DoL currently uses its own fiscal system to perform its revenue collection functions. This system is isolated, antiquated, and not user-friendly. Since it operates on its own application, DoL must send daily validation, check deposits, and settlement faxes to DoA's REV system. Due to the nature of having two, independent systems, there is a constant update/reconciliation and reporting process that occurs between DoL and REV, which demands time and resources. Efficiencies can be gained with the reduction in reconciliation documentation and transfer process with a new, integrated revenue management component of an enterprise regulatory system.

The implemented revenue management component would be scalable so that DoA could then roll on to the application in using its revenue management component as their main revenue collection and reconciliation system. Eventually, all other Divisions within FDACS would assimilate with this new system in becoming a true enterprise organization.

1.2.3.3 Division of Licensing Projection of Licensees and Required Staffing Growth

In recent years, FDACS has experienced a large influx of regulatory responsibilities that its workforce must manage. Specifically, in evaluating the Division of Licensing's (DoL) historical and projected license growth, there is a marked rise in the number of licensees that the Division must oversee. This statistic is crucial in determining the efficiency rate of the Department's workforce, as this rate heavily impacts the Cost Model's performance projections.

DoL administers a variety of licenses that include Concealed Weapons, Private Investigation, Private Security, and Recovery and Repossession. Over the last ten years, the average new

license application volume increased by 14%; and over the past five years, this new license application growth rate was 7%.[24] Discussions with DoL staff confirmed application enhancements are not available to meet the expected future growth in license holders.

Projecting a continued 7% growth rate in new license applications to future years and adjusting the projected actual renewals for the licenses that expire at the end of each year and the historical 65% renewal rate[25] of eligible renewals would require an increase in DoL staffing levels as depicted in the following Exhibit.

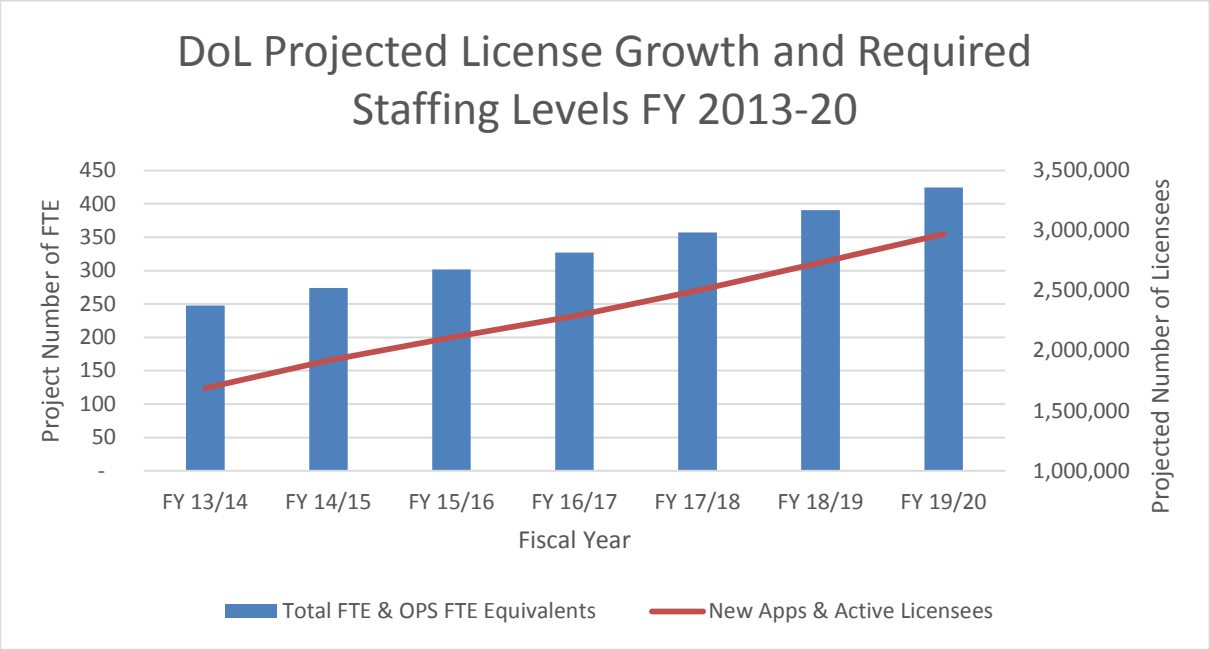

Exhibit 5: Projected Growth of DoL Licensees and Required Staffing 2013-2020

FDACS aims to implement a new enterprise regulatory system with a revenue component that will replace all of the Division of Licensing current licensing applications and the Division of Administration's Revenue Receipt Accounting (REV) system. Given that DoL's current system comes to its end of life at the end of 2015, and that it is the Department's largest Division in terms of licenses administered and generated revenue ($26.2 million for fiscal year 2013-

[24] Florida Department of Agriculture and Consumer Services. Excel Document titled, "141010-DACS01-DivLicBenefits-v001," October 10, 2014.
[25] Florida Department of Agriculture and Consumer Services. Excel Document titled, "141010-DACS01-DivLicBenefits-v001," October 10, 2014.

2014)[26], and has a growing 1.5 million licensee population, this Division would immediately benefit from the cost-savings and process efficiency gains of a new system. Moreover, with a new revenue management component as part of the new system for DoL, there would be a direct interface with the Division of Administration in bringing them onto DoL's system; both Divisions would prosper from seamless and integrated payment, data, accounting, and reconciliation processing. The intent is to eventually bring the rest of the Divisions onto this new system in realizing the true enterprise vision of the Department.

1.2.4 DIVISION OF ADMINISTRATION

In accordance with 570, F.S., DoA is primarily responsible for the revenue collection and processing, disbursement, and human resources for FDACS. The Division also handles all account and administrative actions and complaints, which require regulatory processing and are stored in the Agency Clerk application. DoA currently uses the Revenue Receipts Accounting System (REV) System as their primary revenue collection system, and all funds received are tracked within REV. The Revenue Online Collection (ROC) System enables the public to make online payments and upload multiple documents at a time. DoA also uses an e-Commerce Reporting System (EGC) that assists with reconciliation and billing. These various systems operate on separate platforms, and as a result, there are a multitude of manual payments and manual revenue validation processes that must occur.

As such, DoA stands to gain ample benefits and efficiencies from the implementation of an enterprise regulatory system with a revenue management component. The realization of these benefits will realistically take some time. DoA will not immediately integrate all of its processes with the new enterprise regulatory system, and the rest of the Divisions will have to remain on their current systems until the appropriate time, as well. However, DoA is eager to integrate with a RLMS given the enterprise direction of the Department. The other Divisions who will eventually roll onto this new enterprise regulatory system with a revenue management component will prosper from the system's multiple payment points, disbursement, revenue collection, and reconciliation capabilities.

1.2.4.1 DIVISION OF ADMINISTRATION BENEFITS FROM A NEW ENTERPRISE REGULATORY SYSTEM

Interfacing with the revenue component of a new RLMS will provide the Division of Administration with an integration of revenue management and reconciliation capabilities that will eventually provide a multitude of benefits for the Division of Administration.

The realization of these benefits will take some time, though. DoA will not immediately be able to integrate all of its processes with the new enterprise regulatory system, and the rest of the

[26] *Statement of Revenue by Fund – Estimated and Actual June 30, 2014*. PDF titled "FY 1314 FLAIR Statement of Revenue (3)." Accessed through Florida Department of Agriculture and Consumer Services, February 17, 2015.

Divisions will have to remain on their current systems until they are able to be integrated. As a result, the new system will create overhead until the time that DoA, and the rest of the Department comes on to the new system. However, DoA is eager to integrate with a new enterprise regulatory system that includes a revenue and cash management component. The other Divisions who will eventually roll onto this new enterprise regulatory system with a revenue management component will prosper from the system's multiple payment points, disbursement, revenue collection, and reconciliation capabilities.

With the impending implementation of the new Florida Planning, Accounting, and Ledger Management (PALM) system in the next several years, it will be easier for DoA to streamline with the revenue component given its integration with FLAIR (current financial management system). DoA will benefit from the automated dual reconciliation capability within the revenue management component of a new enterprise regulatory system, as there will be a drastic decrease in the transfer of information and documentation between the revenue module and FLAIR given the real-time batching between the additional interfaces. The automated reconciliation and batching processes will become free from data duplication, thus saving the Division and FDACS valuable workforce effort and costs, and furthering the efficiencies gained from a new system.

The document management and handling functionalities of a new system application will help improve DoA processing times and efficiencies in the check handling process. This will not only reduce manual nature of this process, but it will also promote higher internal controls and reduce the opportunity for internal fraud.

Another key system feature that would allow for an improved process efficiency would be near real-time deposit summaries. The current Division deposit summary process involves a "mail-in and wait" approach, where remote paper summaries are manually sent in and then take valuable time for a response receipt to be issued. With a new deposit summary feature, these summaries would be instantly deposited and verified by DoA, and would help to reduce correspondence time and costs.

A new RLMS will include single sign-on/authentication whereby allowing important customer profile information to be stored and available for reuse in all other applications. Eliminating multiple sign-on points for an individual user will provide higher customer satisfaction and user experiences. Similarly, given that the system will retain pertinent, stored customer profile and payment data, this will create future business process reductions through quicker processing and renewal timeframes. Lastly, the new system would be able to assimilate and automate outside Automated Clearinghouse (ACH) payments and Division chargebacks.

As a result of current processes and inefficiencies with their revenue collection and reconciliation systems, the DoA has identified a number of core requirements that a new enterprise regulatory system with a revenue component would solve. These include:

- A true e-Commerce environment that captures a majority of payments online

  - Collect one payment for multiple applications/processes; instead of multiple payments
- Shift to a fully automated renewal and notification system, where renewals and notifications are automatic upon receipt of fee payment
  - Recipients sent notifications electronically, and in return, the Division can capture these documents electronically
- Standardization of documents via a document management tool
- Case management
- Personal data and profile management
- Work resource management
- Customer relationship management (CRM) tool to better respond to customer interactions

1.2.4.2 COMMONALITIES BETWEEN DOL AND DOA REVENUE MANAGEMENT SYSTEMS

The implementation of a new RLMS strategically aligns with the goals and objectives of both DoL and DoA, and is a system that both Divisions could easily integrate given commonalities between the two Division's current revenue collection systems. Both share similar workflow processes and the data fields (length) would be the same for both Divisions, as there is little variation between the two data sets. While their individual revenue collection processes may differ slightly, having a joint revenue component would allow for expedited and accurate reconciliation processes.

The ultimate goal of the Department is to have every Division eventually roll onto the new enterprise regulatory system. Having the Divisions use the same, integrated revenue component utilized by DoL will be a large value-add in terms of multiple payment points, better processing and communication methods, and cost efficiencies.

1.3 BUSINESS OBJECTIVES

In evaluating the *FDACS Work Group Report – 2013*, a document that resulted from Commissioner Putnam's executive retreat in 2013, a number of future Divisional IT objectives were identified.

The key business objectives for the improved processes within the Division of Licensing included:[27]

[27] Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), page 46.

- Research, design, develop and implement a streamlined renewal process across the Division in terms of their F.S. 790, 493, and other license types
- Streamline the concealed weapon/firearm license issuance process by enhancing the current "Fast Track" system in the regional offices to determine applicant eligibility at the time of application; when the applicant comes into the regional office, they will be given an error and omission letter for an incomplete application or, if staff determines the application to be complete, upon receipt of non-disqualifying criminal history fingerprint results the system will automatically issue the license and submit it for print
- Research, design, develop, and implement a streamlined field administrative complaints system to be used by regional office investigators to support issuance of an administrative complaint while in the field.
- Research, acquire, design, develop and implement a next generation document management system to replace the current ORACLE IPM system

The key business objectives for the internal capabilities of the Division of Administration included:[28]

- Further develop and expand paperless capabilities to process revenue and disbursements. Integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information

In addition to the objectives of both the Division of Licensing and the Division of Administration, and in moving forward with the enterprise regulatory system vision of the Department, it is important to note the goals of the Department, as well. Based upon North Highland's discussions with FDACS' Divisions, Offices, and IT Governance team, the Department documented its enterprise solution goals during a Department-wide Strategic Articulation Session with key executive staff. The goals are described below.[29]

1. Enhance the customer experience in all interactions with or within the Department
2. Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques
3. Enable an enterprise customer service operation
4. Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues

[28] Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), page 39.
[29] Florida Department of Agriculture and Consumer Services. Strategic Visioning Session (Rhodes Building, Tallahassee, FL, 2014, August 27, 2014).

Shifting from a divisional model to an enterprise model, the key components that will help achieve the desired Department goals[30] are:

- A fully optimized technological infrastructure
- A single sign-on identity management system
- A master data management system
- A document management system
- A customer relationship management (CRM) system
- An Emergency Response system
- Mapping and data storage capabilities on a geographical information system
- A unified Service Desk combining help desk and call center as a single point of contact for internal application users and the public[31]

If implemented, an enterprise regulatory system with a revenue component would capitalize on the opportunity to realize substantial gains in a number of key areas.

Customer Relationship Management (CRM) Tool

Stemming off of the Department's last goal of a unified Service Desk, an enterprise regulatory system with a revenue component will reduce the multiple points of contact with the Department. Decreasing the number of internal administrative and regulatory processes through a customer relationship management (CRM) tool is a major objective of many Divisions and the Department. The total numbers of Department customer interactions are increasing by an average of 9%[32] a year, and significantly adding to the costs of the Divisions and Department in having to set up and operate call centers for these interactions. The Exhibit below displays the growth of Department interactions from 2009 to 2014.

[30] Florida Department of Agriculture and Consumer Services. Executive Summary, Regulatory Systems and Programs Feasibility Study Preparation, 2014 (Tallahassee, FL, 2014), page 5.
[31] Based on ITIL set of practices.
[32] Appendix C: Chapter 2, Section 1.3 Business Objectives.

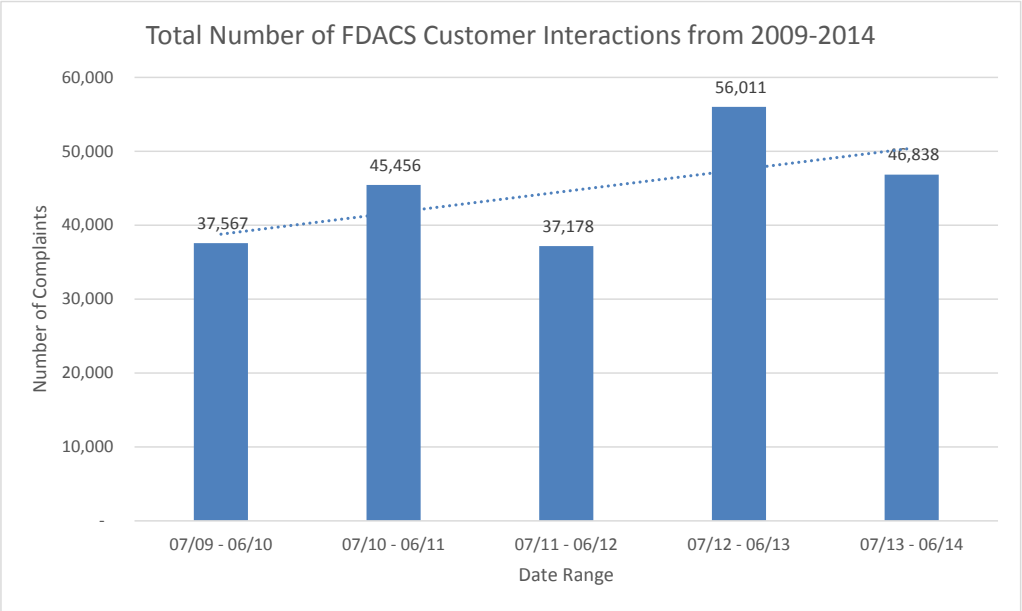

Exhibit 6: Total Number of FDACS Customer Interactions from 2009 to 2014

An enterprise CRM and Service Desk that unifies the help desks and call centers of the Department will help to reduce the multiple points of contact within the Department, as well as provide personalized services that improve customer service and satisfaction. The CRM tool will decrease the number of interactions and increase internal productivity by streamlining management and workflow processes through consolidated Division, Department, and customer information. Whether through call centers, interactive voice response (IVR), self-service kiosks, proactive email and texting, chat, mobile applications, faxes, internet, or in-person scheduling, integrating CRM with the new regulatory system will allow the Department to provide customers with a more personalized and proactive service, regardless of the channel. The overall benefits of the CRM will be lowered customer service costs and elevated customer experience with the Department.

Instituting more open communication channels between the Divisions and Offices not only reduces redundant data collection, but also bolsters monitoring, compliance, inspections, and customer service across the Department via more efficient process management that is critical to effectively respond to potential emergencies or issues that affect the well-being of the public and the State's agricultural industry. Moreover, these improved analytical abilities will lead to efficient resource allotment and operational efficiencies within the Divisions and across the Department, as well as reduced support costs.

The Department will see improvements at the business process level with the restructuring of duplicative processes and streamlined data identification. Movement towards higher data integrity and standardization will allow for improved operational efficiency, reporting, and

monitoring. Stemming from this capability, key analytical metrics will facilitate better proactive decision support for the Department. A regulatory system implementation will greatly improve efficiency by consolidating a number of core business processes which are currently on disparate platforms, thus reducing the hardship of IT infrastructure maintenance for the Department. In alignment with the Department's strategic objectives, the deployment of an enterprise Regulatory Lifecycle Management System will empower its customers and position the Department to be responsive to changing operational demands.

Emergency Response

Another critical area in which the Department would benefit from an enterprise RLMS system is when FDACS is responsible for leading and/or managing an Emergency Response. As the first point of contact when natural- or manmade disasters occur, FDACS must deliver a timely and well-organized strategy for all impacted Divisions to execute. Whether it is the exchange of critical information, geospatial mapping of the mission-critical areas, resource planning and staffing, or cost tracking, the Department not only needs quick and reliable access to all of these capabilities, it must also be able to effectively communicate the appropriate execution plans. Currently, Emergency Response is a disjointed and retroactive process, as the Department has to develop a new system for every single emergency which usually encompasses inefficient methods of communication, mapping, and staffing, often performed via phone calls or emails. This manual process requires significant manpower, time, and effort, thus reducing the overall process efficiency of the Department's Emergency Response capability.

Further substantiating this point, the Department is the primary support agency for Emergency Support Functions (ESF) 17 and 11, "Food and Water," and "Animal and Agricultural" issues, respectively. As such, the Department is responsible for coordinating the training, staffing, scheduling, and identification of resources; cost records; financial reimbursement; and synchronization of joint activities with state and federal agencies. During emergency situations, the Department must be at its most efficient in order to protect consumers and the agricultural industry. The Department and the public will tremendously benefit from enterprise capabilities that include case management, workflow management, workforce management, enhanced GIS, and mobile inspections to support Emergency Response.

The U.S. Department of Agriculture estimates that foreign pest invasions cost U.S. taxpayers $120 billion dollars a year.[33] Foreign pest invasions can result in the reduction of crop value, high eradication expenses, emergency payments to farmers, and higher food and other natural resource costs to consumers.[34] Florida identified 120 new plant pests in the state since 2006,

[33] Florida Department of Agriculture and Consumer Services. PowerPoint from email, "SPB NAFTA Challenges Florida 2008 WNDixon." Page 31. Accessed October 9, 2014.
[34] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 10.

with 26 new plant pest species identified from 2010 to 2011 alone.[35] More recently in November of 2014, the State had to develop a new response plan for the Conehead termite outbreak. The Department has placed a high priority on containing and eradicating species such the Conehead termite, the Giant African Land Snail (GALS), Asian citrus psyllid, Asian citrus canker, Candidatus Liberibacter bacteria which causes Citrus Greening, and the Mediterranean fruit fly. The State successfully eradicated two separate cases of the Mediterranean fruit fly in 2010 and 2011, but at a combined cost of over $3.5 million dollars.[36] In other attempts to eradicate citrus pests, the State of Florida spent approximately $700 million for the Citrus Canker Eradication Program (1995-2006), and an additional $58 million for the Citrus Health Response Programs (2007-2011).[37] As recent as 2015, the State declared another emergency related to an infestation of an Oriental Fruit Fly in Miami-Dade County, and has begun developing a new system to deal with these pests.

An RLMS implementation will enhance and accelerate the Department's Emergency Response system, as well as reduce overall Emergency Response costs not only for FDACS, but also for the State. Additional funding is required to perform the initial analysis that includes requirements gathering, use cases, and business process reengineering (BPR) of an enterprise Emergency Response system for the Department.

[35] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 2.
[36] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.
[37] Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.

SECTION 2 BASELINE ANALYSIS

A baseline analysis will help to establish a basis for understanding the Division of Licensing's, the Division of Administration's, and FDACS' current business processes, stakeholder groups, and Divisional regulatory functions managed that will be affected by the enterprise regulatory system with a revenue component project. Basic assumptions and constraints regarding the project will also be covered.

2.1 CURRENT BUSINESS PROCESSES

The Exhibit[38] below illustrates the 26 various license types and volume managed by the Division of Licensing. As the Division that administers the highest number of licenses within FDACS at over 1.5 million licensees, DoL would benefit from having all of their distinct licenses housed on the same application and the resulting standardization of business processes.

LICENSE TYPE	NUMBER OF LICENSEES
W – Concealed Weapon or Firearm	1,355,792
D – Security Officers	136,680
G – Statewide Firearm Licenses	22,947
WR – Concealed Weapon or Firearm/Retired Law Enforcement and Correctional Officers	9,076
C – Private Investigators	7,871
A – Private Investigator Agencies	2,771
CC – Private Investigator Interns	1,615
DI – Security Officer Instructors	1,546
MB – Security Managers	1,466
B – Security Agencies	1,391
E – Recovery Agents	870
WJ – Concealed Weapon or Firearm/Circuit and County Judges	620
K – Firearms Instructor	619

[38] "Florida Department of Agriculture and Consumer Services Division of Licensing Number of Licensees by Type as of January 31, 2015." February 11, 2015, http://www.freshfromflorida.com/content/download/7471/118627/Number_of_Licensees_By_Type.pdf.

LICENSE TYPE	NUMBER OF LICENSEES
M – Private Investigative/Security Agency Managers	513
R – Recovery Agencies	352
DS – Security Officer Schools	346
EE – Recovery Agent Interns	344
BB – Security Agency Branch Offices	246
MA – Private Investigator Agency Managers	74
AA – Private Investigator Agency Branch Offices	27
RR – Recovery Branch Offices	23
AB – Security Agency/Private Investigative Agency Branch Offices	21
RI – Recovery Agent Instructor	13
RS – Recovery School	6
MR – Recovery Branch Managers	4
WS – Concealed Weapon or Firearm/Consular Security Official	4
GRAND TOTAL	1,545,242

Exhibit 7: Division of Licensing License Type and Volume

The Division of Licensing has stated that internal productivity would increase through the assimilation of all of their licensing systems if all historical, demographic, and license standing data would be available in one domain, as opposed to their current method of searching for this information within multiple systems.

The current maintenance cost of all of these various licensing systems is approximately $258 thousand per year. With the Division running on an old, 32 bit Windows 7 OS, they are constrained as to the level of required maintenance they need to uphold current capabilities. As a result, the annual systems maintenance costs could significantly increase given the system's expiring support.

In evaluating the Division of Licensing's (DoL) current business processes, it is apparent that the Division can gain a multitude of efficiencies with the automation of many current manual processes. These efficiencies will be realized through increases in both workforce and resource utilization, as well as decreases in business process time, and correspondence costs. The following subsections outline the extent of manual effort required to produce a license, and

illustrate the immediate impact a RLMS could have in expediting this process with a fully-automated system.

License Type Document Filter

- An daily average of 4-5 U.S. mail tubs of applications are received through mail, regional offices, or tax collector offices
- Mail is opened by hand
- Mail is sorted by document type
- Sorted mail is then assembled into smaller, more manageable groups called “batches.”
- By “batch,” each page of every document is scanned
- Optical Character Recognition (OCR) captures customer demographics and address in the database

Fiscal Validation

- “Batched” paper documents and checks are received from the mail room
- Checks are “validated” and prepared for deposit
- Validated checks are hand-delivered to bank for deposit

Document Indexing

- “Batched” paper documents are assigned by supervisor
- Quality Assurance (QA) is performed to ensure scanned document is legible and properly captured
- Data retrieved from Optical Character Recognition (OCR) is compared to information on paper document
- Image is released to our Electronic Document Management System (EDMS)

Fingerprinting

- “Batched” paper documents are assigned by supervisor
- Demographics are entered and the fingerprint card is scanned using FBI-certified scanner
- Quality Assurance (QA) is performed

- Fingerprint images and applicant's demographic data are submitted electronically to the FDLE for the state & national criminal history record check to be performed
- "Batched" paper documents are placed in boxes

License Issuance

- Applications are received electronically
- If application is complete and applicant is qualified, then license is issued
- If application is incomplete, then Errors or Omissions letter generated and mailed to applicant
- If fingerprints were deemed illegible by the FBI, then Fingerprint Rejection letter generated and mailed
- If application is complete but applicant has criminal record, then criminal record reviewed
- If applicant is not qualified, then electronic file routed to Legal

As evidenced, it is clear to see how labor intensive the process is to issue a license for both F.S. 790 and 493 licenses. Currently, only 50% of F.S. 790 concealed weapons licenses are filed electronically, and typically have a three week turnaround. The Division has made it a priority to initiate efforts to increase this online registration percentage and process automation.

In maintaining the Department' focus towards the Department's future goal of an enterprise environment for its RLMS, the Exhibit below illustrates over 60 regulatory systems being managed by the Divisions, all in separate environments. Often, Department entities and programs exist in their own silo. A detailed list of each Division's Regulatory Systems and Programs, as well as their processing volume, documentation, profile, and platforms can be found in the Master Regulatory Systems and Programs.[39]

Department Organization	Implementation Release	Regulatory Function	Number of Systems[40]
Division of Licensing	1	Image Processing Licensing	4
Division of Administration	1	Finance and Accounting Revenue Management	4

[39] Florida Department of Agriculture and Consumer Services. *Master_Regulatory_Systems_and_Programs_v1.0*, 2014 (Tallahassee, FL, 2014).
[40] Includes the number of modules for each system in the total system count.

Department Organization	Implementation Release	Regulatory Function	Number of Systems[40]
Division of Agricultural Environmental Services	TBD	Compliance Tracking System Registration Licensing	11
Division of Aquaculture	TBD	Inspection Certification Licensing	5
Division of Fruits and Vegetables	TBD	Inspection Enforcement Registration Permitting	16
Division of Marketing and Development	TBD	Licensing Permitting	2
Division of Plant Industry	TBD	Compliance Inspection Revenue Management Tracking System Registration	6
Division of Animal Industry	TBD	Permitting Inspections	7
Division of Consumer Services	TBD	Permitting Registration Licensing Compliance Inspection	21
Division of Food Safety	TBD	Inspection Tracking Registration	4
Florida Forest Service	TBD	Authorization	1
Office of Agricultural Law Enforcement	TBD	Reporting Image Processing	4
Office of Agricultural Water Policy	TBD	Tracking	2

Exhibit 8: FDACS Division Regulatory Functions and Systems

A RLMS implementation would standardize these functions across the Department.

Out of the varying 68 different regulatory applications, FDACS manages the lifecycle of approximately 30 licensing-specific systems as listed in the Master Regulatory Systems and

Programs Document.[41] In reviewing the licensing systems within the Department, it is clear to see the wide variability and complexity of each license type, which then requires its own specific configuration, set of requirements, and software renewal dates for the applications and tools supporting the business. This lack of uniformity also exists amongst the other regulatory functions within the Department. The Divisions that oversee a licensing system are outlined in the Exhibit below.

Department Organization	Bureau/Office	System Name (Acronym)	Number of Systems
Division of Agricultural Environmental Services	▪ Bureau of Agricultural Environmental Laboratories ▪ Bureau of Licensing and Enforcement ▪ Bureau of Inspection and Incident Response	▪ AES Laboratory Information Management System (AES-LIMS) ▪ Agricultural Environmental Services Suntrack System (AES-Suntrack) ▪ Case File System ▪ DOI Database ▪ Electronic Fumigation Notice Submissions (FUMIGATION)	6
Division of Aquaculture	▪ Bureau of Aquaculture Environmental Service	▪ Apalachicola Bay Oyster Harvesting License (ABOHL)	1

[41] Florida Department of Agriculture and Consumer Services. *Master_Regulatory_Systems_and_Programs_v1.0*, 2014 (Tallahassee, FL, 2014).

Department Organization	Bureau/Office	System Name (Acronym)	Number of Systems
Division of Consumer Services	▪ Bureau of Compliance ▪ Director's Office	▪ DOCS – Education Providers ▪ DOCS – Health Studios ▪ DOCS – Professional Surveyors and Mappers ▪ DOCS – Motor Vehicle Repair ▪ DOCS – Sellers of Travel ▪ DOCS – Solicitation of Contributions ▪ DOCS – Interstate Movers ▪ DOCS – Business Opportunities Franchises ▪ DOCS – Telemarketing ▪ DOCS – Pawnshops ▪ LP Gas	11
Division of Food Safety	▪ Bureau of Dairy Industry ▪ Bureau of Food and Meat Inspection	▪ Regulatory Information Management System (RIMS) ▪ Food Inspection Management System (FIMS)	2
Division of Fruits and Vegetables	▪ Bureau of Technical Control: Director's Office	▪ Fruit and Vegetable System – Citrus Dealers (FAVR) ▪ Fruit and Vegetable System – Growers and Handlers (FAVR)	2

Department Organization	Bureau/Office	System Name (Acronym)	Number of Systems
Division of Licensing	▪ Bureau of License Issuance ▪ Bureau of Regulation and Enforcement ▪ Bureau of Support Services	▪ Concealed Weapons Intake System (CWIS) ▪ Licensing Reflections System (LICG) ▪ Imaging Business and Process Management (EDMS) ▪ Web-based Fast Track System (WBFT)	4
Division of Marketing and Development	▪ Bureau of Agricultural Dealer's Licenses	▪ License and Bond System (LBL)	1

Exhibit 9: FDACS Licensing Count

In evaluating the license types, functions, and processes, FDACS administers a wide range of regulatory applications throughout the Department. In fact, thirteen of the Department's twenty-four Divisions and Offices conduct similar regulatory processes, despite executing those processes quite differently. A core feature of a RLMS implementation would be the standardization of these functions across the Department.

Moreover, the composition of their portfolio ranges from legacy systems, large-scale web applications, MS Access databases, custom applications, commercial-off-the-shelf (COTS) solutions, and customized COTS solutions.[42] Each Division is responsible for the continued upkeep and support of their own application software. This environment, lacking centralized, enterprise oversight, has created inconsistency across data elements and has been a root cause for data redundancies. These duplications and inconsistencies are then further exacerbated by the lack of direct communication channels and access points within the Department. There is an unmet need within the Department for all Divisions to be able to better share and access each other's information and data.

Stemming from the Commissioner's executive retreat in ascertaining specific Department-wide goals and IT initiatives in 2013, the results from the FDACS Work Group Report – 2013 illustrate not only the enterprise objectives[43] of inspector standardization, enhanced customer

[42] Florida Department of Agriculture and Consumer Services. Executive Summary, Regulatory Systems and Programs Feasibility Study Preparation, 2014 (Tallahassee, FL, 2014), page 4.
[43] Florida Department of Agriculture and Consumer Services. Exhibit D3-A, Florida Fiscal Portal Publications, 2014, page 142.

service, and compliance consistency, but also a shared need of similar requirements across the Department. The Exhibit below depicts each Division's stated desire for an enterprise RLMS capability.[44]

DIVISIONS	DIVISION IT INITIATIVE	ENTERPRISE
Division of Administration	Regulatory Lifecycle Management System	✓
Division of Agricultural Environmental Services	Regulatory Lifecycle Management System	✓
Division of Animal Industry	Regulatory Lifecycle Management System	✓
Division of Aquaculture	Regulatory Lifecycle Management System	✓
Division of Consumer Services	Regulatory Lifecycle Management System	✓
Division of Food, Nutrition, and Wellness		
Division of Food Safety	Regulatory Lifecycle Management System	✓
Florida Forest Service		
Division of Fruits and Vegetables	Regulatory Lifecycle Management System	✓
Division of Licensing	Regulatory Lifecycle Management System	✓
Division of Marketing and Development	Regulatory Lifecycle Management System	✓
Division of Plant Industry	Regulatory Lifecycle Management System	✓
Office of Agricultural Law Enforcement	Regulatory Lifecycle Management System	✓
Office of Agricultural Water Policy	Regulatory Lifecycle Management System	✓

Exhibit 10: 2013 Division IT Initiative in RLMS

2.2 ASSUMPTIONS AND CONSTRAINTS

For consideration in moving forward with the enterprise regulatory system with a revenue component project for the Division of Licensing, then the Division of Administration, and eventually the rest of the Department, several assumptions and constraints were documented

[44] Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), pages 10-11.

during discussions with the Divisions and Offices. The assumptions and constraints listed in the Exhibit below are not necessarily linked across rows with one another.

ASSUMPTIONS	CONSTRAINTS
The Division of Licensing (DoL) is willing/able to be the first Division to integrate with an enterprise regulatory system with a revenue management component.	The other Divisions will continue to use their current systems and will need to wait until the appropriate Implementation Phase to integrate with the new enterprise regulatory system.
The Division of Administration is willing/able to be integrate with an enterprise regulatory system with a revenue management component after a year's time from when DoL integrates with the system.	The revenue management component of a new enterprise regulatory system has the scalability to bring on all of the Divisions.
All Divisions / Offices are willing / able to be included in a RLMS.	The system will focus on regulatory process and not outside functionality (e.g., HR system).
All Divisions / Offices will be included in the Implementation Plan.	The requested funding for the enterprise RLMS will be available at the scheduled start date.
All the Department's regulatory processes fall into the standardized application framework.	The Department has completed large implementations in the past, and some areas may be hesitant to undergo another implementation effort.
The Department staff is currently operating at full capacity. Weeks Per Year – 52 Hours Per Week – 40	The planning horizon for the RLMS is over several years with potential for leadership changes during that time.
With the deployment of an enterprise RLMS, the Department will require a document management system.	The current organization structure is not aligned to an enterprise orientation.
Internal Employee Rate (Weekly) - $1240 External Consultant Rate (Weekly) - $ 6400 External PM Rate (Weekly) - $ 9000	The system will require high document management costs.
Avg. User License Cost - COTS Platform - $1,500 Avg. User License Cost - COTS - $770 External PM to External staff ratio – 1:08 # of COTS System Admins - 47 # of COTS user licenses - 500	The role of the Agency for State Technology (AST) for Independent Verification and Validation of the RLMS project has not been defined at this time.
Required project team training - none Required New End User Training – 2.5 days Required Yearly End User Training – 1 day	At this time, a dominant software provider is not established in this market space (i.e., enterprise vs. point solution).

ASSUMPTIONS	CONSTRAINTS
There is a correlation between the increasing regulatory responsibilities and FDACS' rising budget.	

Exhibit 11: Assumptions and Constraints

SECTION 3 MARKET TRENDS AND OFFERINGS

To provide context to the assessment of the enterprise RLMS options for the Department, the North Highland team reviewed how software market and comparable states agencies addressed similar challenges. The team evaluated trends to see how they might impact the solution recommendation.

3.1 TRENDS IN THE PUBLIC SECTOR

Over the past decade regulatory agencies have placed a higher importance on streamlining regulatory lifecycle management processes to better serve their constituents and adapt to changing operational needs. Such needs include, but are not limited to, greater geospatial mapping capabilities, faster processing times, expanded mobile outreach, improved operational efficiency, more effective emergency response workflow, and workforce planning, and customizable document management. It is these same requirements that constantly stress the available resources of regulatory agencies.

As a result, modern Regulatory Lifecycle Management Systems have evolved rapidly over the past ten years and offer solutions that can address these baseline requirements and associated issues. Contrary to agencies and Departments having to implement multiple systems with a singular capability and focus, the market now offers all-encompassing regulatory application systems that not only meet the aforementioned agency requirements, but also provides fully-integrated user interfaces for its customers.

Many public sector entities have taken advantage of these new technologies and have begun RLMS projects of their own.

The North Highland team conducted information-gathering sessions with multiple vendors, systems integrators, and other related State Departments for further analysis of the current RLMS market. These sources included:

- Interviews representatives from leading public sector regulatory systems software providers (Accela, CGI, Infor, Iron Data, Microsoft, Salesforce, and Tyler Technologies)
- Interviews leading public sector Solution Integrators (Accenture, Deloitte, and IBM)
- A conference call with a research analyst from Gartner, Inc., who specializes in public sector RLMS trends
- Numerous research papers and studies focusing on the implementation of COTS regulatory management systems

From this research and the interviews, the following key themes emerged:

- **Use of RLMS Solutions**: State agencies, Departments, and cities are adopting and implementing RLMS solutions to better administer their regulatory processes for their constituents. Of the most recent state and/or city-wide regulatory management systems implementations, a number of them are with the vendors interviewed.
- **Cross-Department Standardization**: State Departments have lower overall support and maintenance costs as a result of the process standardization and reduced agency-specific customizations.
- **Strong Project Governance**: States who have successfully implemented new enterprise regulatory management systems all had clearly defined project governance structures that define decision making processes. Successful projects also delineate responsibilities for oversight of the specific roll-out of certain phases.
- **Business Process Re-engineering (BPR) Prior to Implementation**: Data cleanup, migration, mapping, and conversion are better executed if business process engineer(s) familiar with the data, map out the system's functionalities prior to implementation. Additionally, as a way to avoid customization in the new system and achieve benefits sooner, many State or city entities enter a period of BPR prior to the implementation phase. Entities not performing BPR have large volumes of customizations and generally have to wait until they perform the re-engineering to achieve expected project results.
- **Limit System Customizations:** Limiting customizations reduced the implementation and maintenance cost of a packaged system and enabled the regulatory agency to take advantage of new functionality via regular vendor upgrades.
- **System Integrator (SI) Selection:** While procurement strategies can vary widely, there was general consensus that the selection of the right SI can be just as important as the selection of the right software package. The SI was critical to the success of each of the interviewed parties' RLMS projects in providing expertise during system design, configuration, testing, and end user training.
- **Phased Implementation Approach:** Using an "early success" and a "crawl, walk, run" phased approach allowed the regulatory entity to break down the initiative in smaller, more manageable pieces, realizing benefits sooner[45].
- **Focus on Organizational Change Management (OCM):** Attaining buy-in from every individual within the organization, especially from those at higher levels, leads to an easier transition and more successful implementation. Key components within OCM included organization transformation, internal communication, job training, system training, and external (public) communication.

[45] See the "Implementation Plan" document for further details surround the approach.

3.1.1 SUMMARY OF STATE ENTITY INFORMATION

To better understand the ways in which other State entities recently implemented similar RLMS projects, the North Highland team facilitated meetings with other State entities to obtain additional insight and perspective on RLMS.

North Highland, along with two senior members of the FDACS team met with the following two State entities:

- Florida Department of Business and Professional Regulation (FDBPR)
- Florida Office of Financial Regulation (FOFR)

The North Highland team conducted meetings with executive and director-level personnel responsible for the selection and implementation of new regulatory systems software. These meetings focused on:

- Number and type of regulatory applications monitored
- Regulatory management technology solutions chosen and the related selection process
- Benefits derived from solution
- Infrastructure (people, technology, and governance) required to successfully implement and maintain system solution
- Key lessons learned and pitfalls to avoid
- Advice for State entities planning to implement similar enterprise regulatory systems

Based upon these interviews, multiple themes became apparent.

3.1.1.1 FLORIDA DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION

The Florida Department of Business and Professional Regulation (FDBPR) is an executive agency of the Governor that regulates over one million businesses and professionals, and whose responsibilities include standards and licensing, compliance and enforcement, and tax collection and auditing.[46] In fulfilling their mission to license efficiently and regulate fairly, FDBPR distributes its responsibilities across nine Divisions and one Commission, and previously had 68 disparate regulatory systems in place. In 2003, FDBPR replaced their outdated online application system with an integrated and full-featured COTS regulatory

[46] Iron Data. "Florida Department of Business and Regulation." http://www.irondata.com/case-study/florida-department-business-professional-regulation. August 12, 2013, (October 8, 2014).

management solution, allowing for much needed document management and workflow routing capabilities. This implementation was completed in four phases.

The most critical themes that emerged from North Highlands's meeting with FDBPR included:

- Conducting full business process reengineering, including data standardization and cleaning, prior to implementation to limit the need for customization; this will allow for a seamless data conversion process in determining the business process re-engineering (BPR) mapping
- Selecting the best and brightest staff and having them solely dedicated to the data transfer will be crucial to the project's success
- Determining the overall business structure prior to selecting a system, and not first selecting a system and then try to make the Department's business structure fit within the system's capabilities; it will be very hard to attain Department goals using this method

3.1.1.2 FLORIDA OFFICE OF FINANCIAL REGULATION

Regulating over 40,000 entities and nearly 40 license types, the Florida Office of Financial Regulation (FOFR) is responsible for the licensing and regulation of depository and non-depository financial services entities within the state of Florida. In needing to update their enforcement via workflow automation, FOFR implemented a new regulatory management system in 2008. They now have automated electronic filing and portal licensing, online self-service, document management, and third-party interface capabilities.

Similar to FDBPR, FOFR created work groups made up of employees with comprehensive knowledge of the data, and tasked them to spearhead the implementation of phases. Some of the key themes from FOFR include:

- Having all executive and high-level personnel committed and invested in the project's success; where their buy-in to the system will help speed up adoption throughout the rest of the workforce
- Determining the business process requirements prior to the data cleanup, migration, and mapping is crucial
- Allowing more time during the procurement stage to further qualify the various vendors, as this is a lengthy process, and as such, it should garner enough time to perform their due diligence and select the right vendor

- Given that 80% of their requirements were met out-of-the-box with a COTS solution, selecting a COTS package allowed FOFR to go live quicker, receive upgrades, put the risk back on the vendor, and lower FOFR's risk of custom orders.[47]

[47] Meeting with OFR (Fletcher Building, Tallahassee, FL, 2014, October 2, 2014).

3.2 TECHNOLOGY TRENDS

Due to the recent increased demand for enterprise-class regulatory systems, flexible IT, and streamlined business solution processes by public sector organizations, there is an abundance of software vendors who specialize in the required functionality. However, only a few vendors offer the full breadth of this functionality. Based upon the interview with Gartner, Inc., the following vendors were provided.

- Accela
- CGI
- Infor
- Iron Data
- Microsoft
- Salesforce
- Tyler Technologies

For each vendor, the North Highland team conducted meetings with executive and director-level personnel responsible for the regulatory systems software. These meetings focused on the topics of:

- Overview of the company and their regulatory system solutions
- Recent experiences implementing regulatory systems in the public sector, particularly at comparable state agency/large local levels
- Market trends for regulatory and licensing software, including the company's specific product roadmap
- Overview of capabilities
- Procurement strategy trends
- Implementation trends
- Support trends

3.2.1 ACCELA

Accela has over 500 customers throughout the world at the local, state, and federal levels. With a focus on the public sector, Accela offers a regulatory platform that include Licensing, Permitting, Case Management, and Health and Safety.

A number of states have recently implemented Accela's solutions to manage their regulatory processes. New York, Massachusetts, Oregon, Montana, and Michigan have selected

Accela.[48] Spanning from Departments of Agriculture, to an Alcoholic Beverage Commission, to a Department of Professional Licensure, these organizations utilize Accela to modernize their licensing, permitting, GIS mapping, and mobile systems. Accela's solutions have also been implemented by municipalities throughout the country.

Accela has relationships with Solution Integrators (SI), including Accenture, Deloitte, HP, IBM, Entity Data, Booz Allen, and Unisys.[49] They also partner with some smaller, niche SI depending on the implementation phasing.

3.2.2 CGI

Implemented in 46 U.S. states and over 200 local governments, CGI services the public sector with its domain and technical expertise, deep client focus, and government-centric solutions. CGI offers full-service infrastructure, application management, and modernization solutions to provide tangible short- and long-term cost savings and eliminate redundancies across organizations.[50] CGI's Application Portfolio Rationalization (APR) allows IT departments to identify cost savings, typically ranging from 10-30% in IT maintenance budgets, while paving the way for future business value.[51]

CGI currently implements a solution for the largest oil and gas permitting agency in the public sector in Austin, TX.[52] Additionally, CGI was recently awarded the contract for the State of Michigan Enterprise Resource Planning (ERP) modernization project that will allow for state agencies to become more efficient and responsive through contemporary financial and cloud solutions.[53] CGI states their key differentiator is being able to deconstruct requirements and then leverage their library of code blocks to ensure their solution seamlessly meets the needs of an organization.

CGI notes a number of trends for regulatory and licensing software. CGI's software provides its users with automated workflow, regulatory monitoring, citizen self-service, mobile inspections, geospatial integration, enhanced public access portals, and predictive analysis. When asked what their optimal RLMS configuration would look like, CGI stated that it would be an integrated environment that was comprised of a centralized permitting capability which worked in conjunction with both an incident management tool and an integrated content management-business intelligence platform.[54]

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[48] Interview with Accela (The North Highland Office, Tallahassee, FL, 2014, September 22, 2014).
[49] Interview with Accela (The North Highland Office, Tallahassee, FL, 2014, September 22, 2014).
[50] Interview with CGI (The North Highland Office, Tallahassee, FL, 2014, September 29, 2014).
[51] CGI.com. "Application Portfolio Rationalization." http://www.cgi.com/en/application-management/application-portfolio-rationalization. (October 8, 2014).
[52] Interview with CGI (The North Highland Office, Tallahassee, FL, 2014, September 29, 2014).
[53] Interview with CGI (The North Highland Office, Tallahassee, FL, 2014, September 29, 2014).
[54] Interview with CGI (The North Highland Office, Tallahassee, FL, 2014, September 29, 2014).

3.2.3 INFOR

Infor offers a suite of solutions that caters to the licensing and permitting requirements of regulatory entities. Infor's regulatory suite has functionality to support an organization's enforcement, case management, inventory management, workflow management, and compliance capabilities.

A component of their regulatory software, Infor's CDR application (community, development, and regulation) helps streamline the trade and contracting permitting and licensing processes within agencies. Additionally, its workflows are configurable with the aid of a back-end workflow manager.

Implemented in more than 1,200 worldwide municipalities and nine of the largest 10 U.S. cities,[55] Infor's solutions have reduced permit processing times, improve operational efficiency, cut down on workforce hours, automate processes, and decrease enforcement cases by more than half.[56] Infor has licensing and permitting installations with the cities of Boston, Buffalo, Chicago, Houston, Las Vegas, Long Beach, and Vancouver.

Infor typically implements their own solutions, but does partner with outside SI such as Accenture, Cypher, Deloitte, or outside boutiques if necessary.

3.2.4 IRON DATA

Iron Data offers a number of case management, workflow, and regulatory solutions. Iron Data's flagship product, Versa Regulation, is a comprehensive suite that consolidates licensing, enforcement, revenue information, and other regulatory applications into a single, fully-integrated solution for regulatory agencies of all sizes. Compatible with both Oracle and SQL, Versa is completely web-based, and incorporates regulatory capabilities such as automated workflow, GIS mapping, external systems integration, mobile inspections, data configuration, and ad-hoc reporting.[57] Recent studies have shown a lower average licensing renewal processing time for Mortgage Broker Firms and Agents from 12 days down to 30 minutes.[58]

Iron Data partners with SI such as Accenture and Deloitte for its regulatory implementations in the State of Florida. In addition to providing COTS solutions to their clients, Iron Data integrates with document management and ePayment systems.

[55] Interview with Infor (The North Highland Office, Tallahassee, FL, 2014, October 9, 2014).
[56] Interview with Infor (The North Highland Office, Tallahassee, FL, 2014, October 9, 2014).
[57] Interview with Iron Data (The North Highland Office, Tallahassee, FL, 2014, September 17, 2014).
[58] Iron Data. "Versa." http://www.irondata.com/public-sector/regulatory/products/versa. (October 8, 2014).

Iron Data has clients in 49 U.S. states, and over 100 regulatory implementations. Iron Data has a large installed base of regulatory systems, including within the State of Florida. Florida organizations that have integrated Iron Data solutions include Medical Quality Assurance (MQA), DBPR, OFR, and the American Health Care Association (AHCA).[59] Outside of Florida, Iron Data has clients in Montana, Georgia, Tennessee, and New York. Tennessee's Department of Health (TDOH) and New York's Department of Agriculture both recently implemented an Iron Data COTS solution.

3.2.5 MICROSOFT

The Microsoft Dynamics software solution helps organizations by focusing on speed to market while utilizing the Microsoft CRM tool with the flexibility of a platform solution. Microsoft's CRM tool includes case management, citizen services centers, constituent management, permitting, and licensing features.[60]

Microsoft has experience with several State agencies and Departments, The State of Pennsylvania chose Microsoft Dynamics to assist with ATV and snowmobile registration, payment collection, and grant application management through a back-end CRM installation. Microsoft has clients that include the State of Florida's Governor's Office, Florida Child Services, the Illinois Department of Correction, and the cities of Chicago and Baltimore in administering call center services, scheduling, and information/data requests from its users.

In addition to their out-of-the-box workflows, Microsoft Dynamics includes a rules-based workflow engine. The CRM can utilize .NET or Java code as a plugin for increased flexibility. The CRM stores data in terms of its geographic information capability, using pin-point locations, address validations, and mapping features.[61]

3.2.6 SALESFORCE

Salesforce uses an exclusive Software-as-a-Service (SaaS) model and issue software licenses via a volume-based user count with no threshold.[62] Additionally, Salesforce has a partnership with BasicGov, a cloud-based operations management solution for governments, and can sustain BasicGov's regulatory COTS package on their platform.

Developing their platform since 2007, Salesforce has aided numerous public sector entities with their regulatory system software. Examples include the Massachusetts Dept. of Public Safety (regulating 17 large, independent programs), the State of Wyoming (inspection regulation practices), Minnesota Division of Licensing (professional licensing and

[59] Interview with Iron Data (The North Highland Office, Tallahassee, FL, 2014, September 17, 2014).
[60] Interview with Microsoft (The North Highland Office, Tallahassee, FL, 2014, September 26, 2014).
[61] Interview with Microsoft (The North Highland Office, Tallahassee, FL, 2014, September 26, 2014).
[62] Interview with Salesforce (The North Highland Office, Tallahassee, FL, 2014, September 26, 2014).

accreditation), and the City of Philadelphia (mobile imaging).[63] Within the Minnesota Division of Licensing, Salesforce was also able to extend the reach of their mobile capabilities within hospitals.[64] The Georgia Department of Agriculture selected Salesforce to employ their recent regulatory system modernization

Whether choosing to implement a Salesforce COTS package, or a BasicGov COTS package, Salesforce remains committed to their client-focus in offering three free upgrades a year, and have never broken a custom configuration with their upgrades. Furthermore, in terms of their support, Salesforce offers recurring training and learning sessions, as well as a Customer For Life (CFL) status in giving customers priority support, priority tickets, and tailored customer development forums.

Salesforce partners with BasicGov for integration, and they are able to bring in third party vendors as well. Solution Integrators that Salesforce also partners with include Deloitte and IBM.

3.2.7 TYLER TECHNOLOGIES

With approximately 2,500 employees, Tyler Technologies is one of the largest companies in the United States that solely focuses on the public sector. Of those 2,500 employees, 300 of them are dedicated to EnerGov – Tyler's Planning, Permitting, and Licensing Software. Tyler's core framework focuses on cashiering, location management, content management, workflow, and GIS in order to provide licensing, permitting and land management, asset management, and citizen request and response for 11,000 users across the United States.[65] Two of Tyler's biggest clients are the Los Angeles County of California and the Province of British Columbia, who now seamlessly regulate 100 and 500 license types, respectively.[66]

Tyler's EnerGov is a stand-alone regulatory system, however, if there are additional needed functionalities, Tyler does partner with third party vendors. Two such integrations include Microsoft Exchange Server for their meeting and calendaring capabilities, and Bluebeam Software or Adobe for their ability to markup electronic building plans.

[63] Interview with Salesforce (The North Highland Office, Tallahassee, FL, 2014, September 26, 2014).
[64] Interview with Salesforce (The North Highland Office, Tallahassee, FL, 2014, September 26, 2014).
[65] Interview with Tyler Technologies (The North Highland Office, Tallahassee, FL, 2014, October 1, 2014).
[66] Interview with Tyler Technologies (The North Highland Office, Tallahassee, FL, 2014, October 1, 2014).

3.2.8 SOLUTION INTEGRATORS

In addition to meeting with software vendors, the North Highland team met with systems integrators (SI) to determine their relevant experience in the procurement and implementation stages of a new RLMS.

The contacted solution integrators include Accenture, Deloitte, and IBM. These meetings focused on the topics of:

- Recent experiences implementing regulatory systems in the public sector; particularly at comparable state agency/large local levels
- Market trends for regulatory and licensing software
- Overview of capabilities
- Procurement strategy trends
- Implementation trends
- Support trends
- General Discussion

Based upon our discussions with the various SI, a number of important takeaways surfaced surrounding recent market trends.

- Regulatory agencies are under enormous pressure to become part of economic growth engines.
  - Given the immense competition between States for resources and the desire to become the best in how they operate, State regulatory agencies want to be recognized as pro-business and pro-small business by consumers in relation to other states.
- There is a need for predictive analysis capabilities and forward-looking lenses, particularly by the Departments of Agriculture and Environmental Protection.
- Finally, there is a big push for environmental awareness in implementing systems that allow for better response times and processing capabilities.

Based upon our discussions with the various SI, a number of important takeaways surfaced surrounding recent implementation trends.

- Regulatory agencies prefer breaking down large projects into smaller pieces that are accompanied by shorter, faster releases, in order to show quick wins.

  - SI believe that they can facilitate this growing trend given their ability to adeptly understand the vendor's product suite so well that they will not have to rely on the vendor long-term.
- Regulatory agencies establish an effective governance structure prior to selecting appropriate solution.
  - This includes a holistic business transformation in addition to the desired technology.
  - Regulatory agencies are often too quick to select the solution first, and then back-out their business transformation given the functionalities of the vendor system.
  - Lean business process reengineering needs to occur on the front-end of the implementation.
- There is a recent movement to cloud technologies, as faster data, process, and information delivery times are being demanded at higher rates and are gaining support within the regulatory community.

Finally, advice that the SI would give to clients who are preparing for an implementation would be that regulatory agencies must understand the complexities and budgetary commitments needed to implement a new system, and that using pre-defined methodology process flow templates will help drive the set-up of a system configuration. Furthermore, data cleanup, defining requirements, and determining business process flows will make for an easier implementation.

3.3 OTHER CONSIDERATIONS

During the market analysis and interviews with State agencies, a few topics arose that should be evaluated at the outset of the solution selection process. Each of these items is defined in this section and assessed with respect to the objectives of the study using a combination of industry research, comparison against the regulatory management environments of similar State Agencies and Departments, and the professional experience of the North Highland team. The topics in this section are:

- Custom Software vs. Commercial Off the Shelf (COTS) Regulatory Software
- Outsourcing of Application Support
- Software Licensing Models
- Technology Solution Cost Drivers

3.3.1 CUSTOM SOFTWARE VS. COTS SOFTWARE

The first fundamental topic is whether FDACS should develop its regulatory lifecycle management software internally or purchase and implement a COTS software product.

The following Exhibit displays the benefits and trade-offs of custom development versus the purchase of a COTS regulatory software solution.

FACTOR	CUSTOM SOLUTION	COTS
Scalability	▪ Custom solutions are generally designed for a specific need and tend to be less scalable than their COTS counterparts.	▪ COTS providers often build their solutions to support the requirements of many organizations that differ in size and complexity. As such, COTS products inherently support both future customizations and scalability.
Stability	▪ Custom developed solutions are typically very stable as they are tailored to an organization's exact business requirements – so long as the requirements do not change. ▪ Changes in requirements may require reprogramming to the custom development instead of minor configuration.	▪ Unless heavily customized, regulatory software is typically very stable, as it has been thoroughly tested and used by thousands of customers. ▪ In most cases, COTS software vendors provide support and keep base technology current as part of an annual maintenance contract.
Cost	▪ Initial development and implementation costs of custom software can be high Long term maintenance costs are generally higher for custom developed solutions because organizations that custom develop software must maintain deep software development skills post-implementation to support upgrades.	▪ For large-scale, complex applications, it is typically less expensive to buy COTS software from a vendor who can aggregate the development costs across their client base. ▪ When maintaining a COTS regulatory system, there are yearly support costs and vendor fees, but this is typically offset by lower development staff costs, thereby providing greater stability.

Ease of Implementation	▪ Where business processes are standardized, custom developed solutions can be created to precisely match the business process, which can be a great benefit. Custom solutions generally take significantly longer to develop and implement than COTS alternatives since a number of internal and external resources are needed to design, develop and test every system requirement.	▪ COTS software has many shared built-in processes which can be used as a template to improve regulatory operations. ▪ Regulatory software enforces current project governance teams to determine business process standardization in order to minimize custom development, which leads to a more effective implementation. ▪ Benefits may materialize faster if properly managed as COTS software is configured.

Exhibit 12: Custom Regulatory Software vs. COTS Regulatory Software

3.3.2 Outsourcing or Internal Management of Application Support

The second topic that needs to be addressed is whether to outsource application support of either the custom or COTS RLMS. Whether outsourcing all, some portion, or none of the management and support, each option has a significant impact.

Application support for an enterprise RLMS generally includes practices such as:

- Maintenance of the hardware and technical infrastructure to support the system
- Maintenance of the software, ensuring it is available and working as designed
- Management of maintenance upgrades and enhancement requests
- Management of ongoing system trainings

The following Exhibit outlines the benefits and trade-offs of outsourcing system support functions.

Factor	Outsourced	Internally Managed
Scalability	▪ An outsourced solution is highly scalable because the responsibility for managing the resources and capabilities lies with the contracted provider, thus minimizing the hardships of the customer.	▪ It may be hard to identify, train, hire, and retain skilled application support specialists internally, causing scalability issues.

FACTOR	OUTSOURCED	INTERNALLY MANAGED
Stability	▪ A strong procurement, vendor selection, and contract will provide a very stable support environment.	▪ The abilities and availability of internal staff resources will determine the stability of the support environment.
Cost	▪ Outsourced application support resources tend to cost significantly more than using internal resources. ▪ Outsourced support can be more cost effective for a highly specific skill needed on an infrequent basis (i.e. a database administrator who is needed once per quarter).	▪ Internal resources are usually significantly less expensive than outsourced resources. ▪ Employees requiring significant training and certification for specific skills sets can be more costly and difficult to maintain.
Ease of Implementation	▪ Outsourced application support is a mature industry, making the transition to a third-party managed services provider a relatively straight-forward process.	▪ Providing internal support requires active management of a full support organization. ▪ Hiring skilled staff to support applications internally may be challenging.

Exhibit 13: Outsourced vs. Internally Managed Application Support

3.3.3 SOFTWARE LICENSING MODELS

There are two types of licensing models for COTS solutions. The first is a per-user license model, and the second is an enterprise, or “site,” license model. Under a per-user license agreement, the vendor will charge a specific, incremental cost for each user of the system. These costs can be further refined depending on the role and function of the user. An enterprise, or “site,” license model requires an organization to pay a fixed amount for the software, regardless of the volume or number of users accessing the system.

While this analysis is presented to inform the overall evaluation, it is important to note that the precise license pricing model is determined by the chosen software vendor.

The following Exhibit lists a comparison between the per-user and enterprise software licensing.

FACTOR	PER USER	ENTERPRISE

FACTOR	PER USER	ENTERPRISE
Scalability	▪ Cost and usage of the software is directly relational to the number of system users; there is an incremental cost for each additional system user.	▪ Software cost is fixed and does not change with the number of users or volume.
Cost	▪ The licensing model cost will need to be addressed as part of the procurement process, as one option may end up being more beneficial over the other depending on the number of users, how the vendor sets up the system cost (enterprise wide, by function, etc.), and the actual cost for each model.	
Implementation	▪ If there are high costs to operate the system, users with lesser roles may be kept out of the system, leading to offline processes.	▪ As a result of no incremental cost, employees can use the system for any function.

Exhibit 14: Licensing Model Summary

3.3.4 TECHNOLOGY SOLUTION COST DRIVERS

Additional cost drivers will affect the overall cost of a RLMS project, as displayed in the Cost Model document. Typically, these individual cost factors are combined into the following three categories and are listed below.

- **Required Purchases**: These are the upfront items that will need to be purchased in order to enhance or deploy a new system. Such costs include software licensing, computer hardware and data center facilities, and any supporting infrastructure technology systems.
- **Implementation**: These are the in-house and contracted labor costs needed to deploy a new system. Such costs include requirements development, project oversight, software installation and configuration, software development, system integration, report development, data conversion, data testing and quality assurance, process redesign, organization change management (OCM), project team training, and end user training.
- **Operations and Maintenance**: These are the all of the labor and materials costs needed to support the system throughout its full lifecycle. Such costs include software maintenance, production support and training, software development, planned future upgrades, process improvements, change management related to upgrades, infrastructure support, system administration, ongoing hardware, data center facilities, and other equipment maintenance costs.

SECTION 4 PROPOSED BUSINESS PROCESS REQUIREMENTS

This section will help to establish a basis for understanding the business processes requirements the proposed solution must meet, and it will also outline the criteria the project will use in selecting an appropriate solution.

As part of the Data and Information Gathering Sessions, the project team met with all twelve Divisions and two Offices within the Department to discuss their current business requirements and desired future functionalities. The team worked to identify and analyze the current state of the regulatory applications across the Department, as well as determine the key functionalities of a new system from each Division and Office's perspective.

Over the course of the discussions with each Division and Office, there were a few overarching functionalities that were shared across many, if not all, of the Divisions and Offices.

The FDACS Key Functionality Heat Map document found in Appendix 2 illustrates these functionalities, while Appendix 3 details the sub-capabilities of these core functionalities. The Requirement Excel document titled, "DACS01-RTVM-v001," provides a more expansive description of each individual Division's future state requirements.

4.1 PROPOSED BUSINESS PROCESS REQUIREMENTS

The Proposed Business Process Requirements for each Division can be referenced in Appendix 4, as well in the document named "DACS01-RTVM-v001."

4.2 BUSINESS SOLUTION ALTERNATIVES

North Highland examined three alternatives to meet the business goals of an enterprise RLMS.

- Develop a custom solution
- Deploy a COTS solution
- Develop a solution using a standard COTS framework/platform

To properly evaluate the solutions available to the Department for a RLMS, North Highland defined a minimum set of capabilities each option must fulfill based upon the following criteria:

- The mission of the Department and governing statutes
- The limitations of the current disparate systems
- The Department's guiding principles, goals, and objectives for a RLMS
- Research into how Florida agencies and the software market have responded to the challenges of implementing an enterprise RLMS

Establishing a minimum set of capabilities is critical to ensure all options are compared to a common standard. This common base will allow option costs, timelines, and capabilities to be compared in a consistent manner. The Exhibit below identifies the minimum capabilities to meet the requirements of an enterprise RLMS.

MINIMUM RLMS CAPABILITIES	
▪ Case Management	▪ Permitting
▪ Configuration	▪ Process Automation
▪ Data Migration/Data Conversion	▪ Public Portal
▪ Data Segregation	▪ Reporting
▪ Document Management	▪ Revenue Collection and Reconciliation
▪ E-commerce	▪ Service Desk
▪ Geographic Information System (GIS)	▪ Support and Maintenance
▪ Licensing	▪ Workflow Management
▪ Mobile Device	▪ Workforce Management

Exhibit 15: Minimum RLMS Capabilities

Option 1 – Enterprise Data Warehouse (EDW) Leveraging Existing System – This option consists of enhancing an existing system used by a single Division or Office to meet the needs of the entire Department. To meet the unique regulatory needs of each Office and Division the system would require extensive custom development. Additionally, to be a true enterprise system, the system would need to be enhanced with an enterprise data warehouse. Reference Section 3.3.1 Custom Software vs. COTS Software for a detailed description of a custom solution.

Option 2 – COTS – This option consists of procuring a COTS solution that has proven experience in the regulatory space. The majority of the Department's processes would be covered by a standard COTS solution. Some level of customization and business process standardization would be required. Reference Section 3.3.1 Custom Software vs. COTS Software for a detailed description of a COTS solution.

Option 3 – COTS Platform – This option consists of procuring a COTS platform that is not specific to the regulatory space, but is configurable. This type of solution comes with built-in functionality like workflow that can be configured to the Department's processes.

ALTERNATIVES	ADVANTAGES	DISADVANTAGES
Option 1 – EDW Leveraging Existing System	▪ Starting with EDW foundation ▪ Internal knowledge of the system	▪ Locked into outdated technology ▪ History of previous failures ▪ Doesn't leverage industry best practices
Option 2 – COTS RLMS	▪ Pre-built solution ▪ Industry leading best practices ▪ Product updates by vendor ▪ R&D provided by the vendor ▪ Drives standardization ▪ Shorter implementation	▪ Limits flexibility ▪ Requires specialized resources ▪ Potential large OCM impact
Option 3 – COTS Development Platform RLMS	▪ Extended development toolkit ▪ Drives standardization ▪ Extends flexibility	▪ Customizations may impact upgradability ▪ Longer implementation

Exhibit 16: Alternatives Advantages and Disadvantages

4.3 RATIONALE FOR SELECTION

In addition to considering the advantages and disadvantages of each option presented in Section 4.2, the Department must carefully consider other factors in making a selection. The options analysis is structured around the following four elements:

- Option Alignment to Goals and Objectives
- Cost Comparison
- Benefits Comparison
- Risk Analysis

4.3.1 OPTION ALIGNMENT TO GOALS AND OBJECTIVES

Deliverable 3 introduces a project vision statement and four solution goals and their associated business value. The solution goals provide a minimum set of capabilities that must be met by any solution.

As part of the analysis, each option was assessed against the vision statement and four solutions goals. This assessment was qualitative with the alignment presented for each option relative to the other options. Each option was given a score of High, Medium, or Low for how well the option aligned to the vision and each goal. For scoring purposes, High = 3 points, Medium = 2 points, and Low = 1 point. The average points for each option is then calculated. The Exhibit below reflects the output of this qualitative assessment:

Evaluation of Qualitative Criteria	Options Considered		
	Option 1: EDW Leveraging an Existing System	Option 2: COTS RLMS	Option 3: COTS Platform RLMS
Vision: Implement an enterprise RLMS that empowers customers, supports efficient processes, and positions the Department to be responsive to changing operational demands.	Low	High	High
Goal 1: Enhance the customer experience in all interactions both with and within the Department.	Medium	High	High
Goal 2: Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.	Medium	High	High
Goal 3: Enable an enterprise customer service operation.	Medium	High	High
Goal 4: Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.	Low	Medium	Medium
Average Score	1.6	2.8	2.8

Exhibit 17: Alignment to Goals and Objectives

4.3.2 Cost Comparison of Three Implementation Options

Below is an overview of the results of the cost modeling exercise. For each option the team modeled costs over a four-year window starting in July 2015 (FY 15-16). This time frame was selected given the needs of the Department and the scope of the project.

It is important to note the selection of a four-year window is not in any way indicative of the lifespan of the new RLMS. In all cases it should far outlive the timelines built into the cost models.[67]

The Exhibit below summarizes expected total cost of ownership for each option over a 15-year period starting in July 2014 (FY 15-16). The total cost of ownership is the sum of the following components:

[67] The North Highland Company. "140923-FDACS-Cost-Model-v001" Excel document. October 29, 2014.

- Implementation Cost: Internal (employee count and time)[68] and external (contractors / purchases) expenditures required to design and implement the RLMS
- Existing Support Cost: Expenses associated with supporting the current disparate systems prior to their retirement
- RLMS Support Cost: Expenses associated with supporting the RLMS solution during and after its implementation

For scoring purposes, Less than $25 Million = 3 points, Less than $75 Million = 2 points, and Less than $100+ Million = 1 point.

Cost Categories (Millions)	Options Considered		
	Option 1: EDW Leveraging an Existing System	Option 2: COTS RLMS	Option 3: COTS Platform RLMS
Implementation Cost	$78,324,631	$26,062,805	$22,916,758
Existing Support Cost	$44,579,065	$5,908,126	$29,712,069
RLMS Support Cost	$18,324,082	$4,770,861	$15,276,967
Total Cost of Ownership	$141,227,778	$36,741,792	$67,905,794
Average Cost Score	1	2.5	2.5

Exhibit 18: Cost Comparison

[68] Includes an average Span of Control of 7.44 as referenced from "Span of Control and Span of Attention." Bandiera, Prat, Sadun and Wulf. Harvard Business School Working Paper. April 30, 2014.

4.3.3 BENEFIT COMPARISON

All three options were evaluated for benefits that could be realized. Each option was given a score of High, Medium, or Low for how likely or how soon the option would realize each benefit. For scoring purposes High = 3 points, Medium = 2 points, and Low = 1 point. The average points for each option is then calculated.

BENEFIT	OPTIONS CONSIDERED		
	OPTION 1: EDW LEVERAGING AN EXISTING SYSTEM	OPTION 2: COTS RLMS	OPTION 3: COTS PLATFORM RLMS
Reduction of Overall Maintenance Cost	Low	Medium	Medium
Automation of Manual Work Processes	Medium	High	High
Enhanced Customer Experience (Internal and External)	Medium	High	High
Self Sufficient IT Infrastructure	High	Medium	Medium
Improved Emergency Response	Low	Medium	High
Average Score	1.8	2.4	2.6

Exhibit 19: Benefit Comparison

Based on the analysis Option 1 scored 1.8, some of the contributing factors were:

- A customized solution will require more administrators once implemented than a COTS solution
- Custom development will still be required to respond to emergencies

Based on the analysis Option 2 scored 2.4, some of the contributing factors were:

- Built-in workflow will automate manual work processes

Based on the analysis Option 3 scored 2.6, some of the contributing factors were:

- Built-in workflow will automate manual work processes
- A COTS platform will provide a configurable platform to develop emergency response applications.

4.3.3.1 TANGIBLE BENEFIT CALCULATION

Over the last decade, the Department has experienced a significant expansion in all of its primary permitting, licensing, inspection, and consumer response functional areas, as earlier evidenced by the relevant data points and exhibits in Section 1.2.4. An analysis of the historical trends and their future projection has identified constraints on the additional operational efficiencies which could be gained from improving the existing applications with a new enterprise RLMS.

As a result, to deliver acceptable levels of customer service in the future would require expanding personnel resources to meet the increased demand. Implementing a modern RLMS would provide a workforce multiplier that would allow the Department to avoid a significant portion of this expected increase in staffing. A tangible benefit was calculated to estimate the savings from not hiring to the staffing levels which would be required across the Department if the RLMS solution was not implemented.

System limitations in certain Divisions, especially in DoL, have resulted in requests for Division-level modernization projects. DoL completed a Schedule IV-B in 2009 to modernize its permitting and licensing functions. The implementation costs were scheduled to be incurred over a 42-month period for a total of $10,900,000. There are other examples of other Division system modernization requests, only the DoL estimated implementation costs have been included as an intangible benefit to this RLMS project.

A summary of the estimated intangible benefits from the enterprise, integrated RLMS system is displayed in the Exhibit below.

#	Description of Benefit	Tangible or Intangible	Benefit Recipient	How Will Benefit Be Measured?
1	Increase process efficiencies in anticipation of growth in overall transaction volume – estimated at $26,048,727 annually when fully implemented (increased at an annual inflation rate of 1.5%).[69]	Intangible	Applicants Permit/License Holders FDACS/State Citizens	Avoiding the majority of costs of adding staff to meet anticipated growth in permitting, licensure, inspection, and consumer response volumes.

[69] The North Highland Company. “140923-FDACS-Cost-Model-v001” Excel document. October 29, 2014.

#	Description of Benefit	Tangible or Intangible	Benefit Recipient	How Will Benefit Be Measured?
2	Avoiding known costs of a previous system modernization involving only DoL from five years ago – benefit is estimated over the life of the planned implementation at a total of $10,900,000.[70]	Intangible	FDACS/State Citizens	Avoiding the cost funding individual Division system modernization projects.
3	Enhance Emergency Response capabilities	Intangible	FDACS/State Citizens	Reduce the overall response time and level of effort required to support the Emergency Response effort.
4	Support anticipated growth in inbound calls to Consumer Services	Intangible	FDACS/State Citizens	Avoiding the cost of adding staff to meet anticipated growth in call volume.

Exhibit 20: Expected Benefits

[70] Appendix C: Chapter 2, Section 4.3.3.1 Tangible Benefit Calculation.

4.3.3.2 INTANGIBLE BENEFITS

The results of our data gathering identified numerous features available in modern systems which will provide value to both license holders and FDACS employees. At this point, the benefits cannot be reliably quantified; however, examples include:

- Improved self-service portal functionality for license holders
- Enhanced mobile functionality available for inspectors
- Enhanced geospatial mapping for inspectors and emergency response plans
- Where appropriate, streamlined training of staff around standard functionality
- Improved risk-based inspection assignments as a result of an enterprise data model
- Improved program accountability through real-time access to data
- Improved communication, cooperation, and collaboration of information within the program areas and FDACS
- Increased data quality and accuracy through reduction in duplicate data
- Rapid response to changing regulatory requirements
- Improved sense of data security stemming from up-to-date security technologies and coverage

For a more extensive list of FDACS intangible benefits, please see the “RLMS_Benefits Realization Table_v3.1” Document.

4.3.3.3 RLMS BENEFITS REALIZATION STRATEGY

The Department has developed a strategy for realizing the estimated benefits expected from modernizing its technology infrastructure through the implementation of a RLMS to improve business processes and their associated outcomes. This strategy is summarized below and the approach that will be used to track and manage project benefit realization is depicted in Exhibit 21.

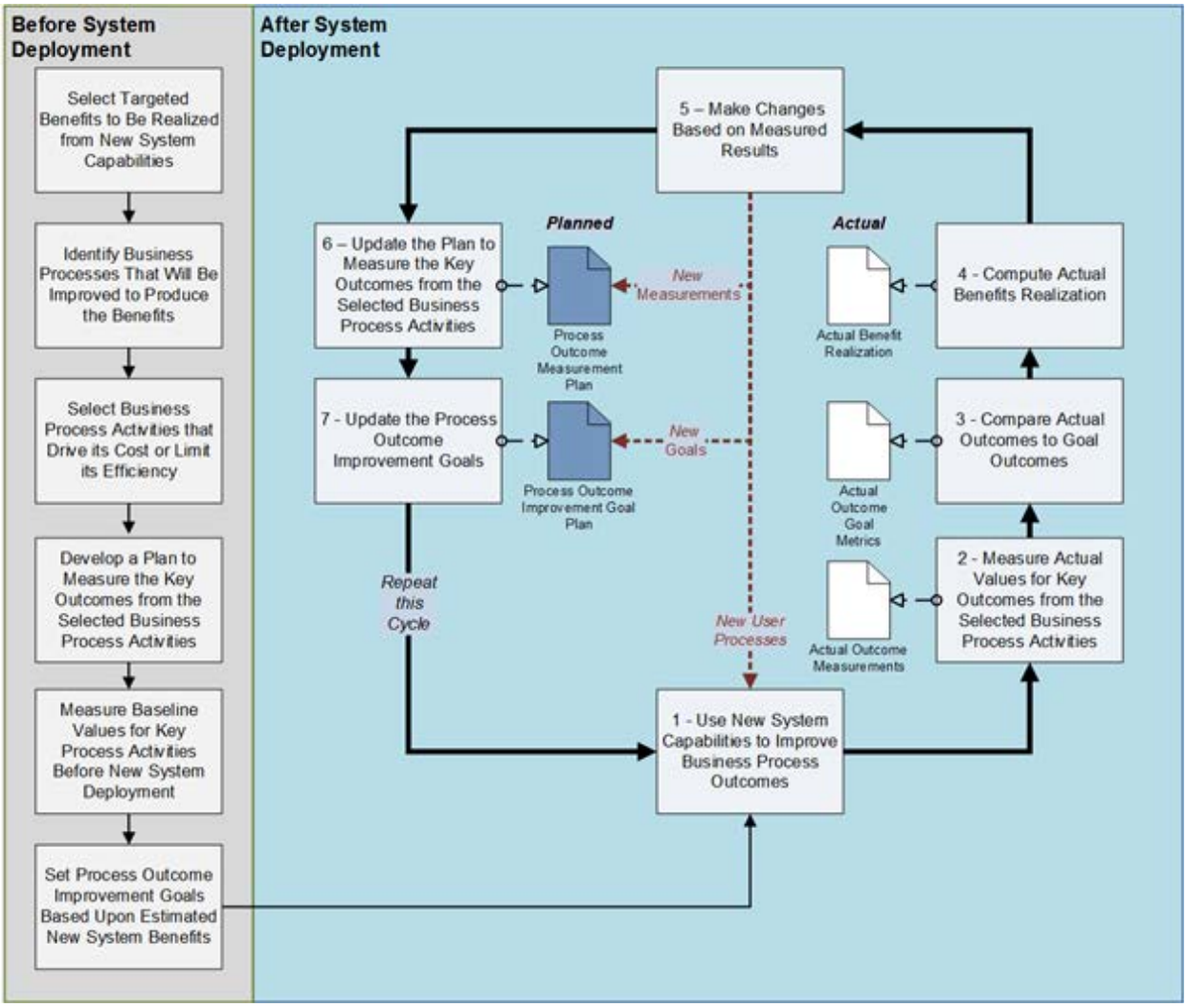


Exhibit 21: Benefits Realization Process

The thoughtful and intentional realization of benefits cannot begin until a process is in place – with strong leadership, broad understanding, and support from all stakeholders to regularly obtain meaningful measurements of business process outcomes. The following paragraphs explain the benefits realization management activities. The management of RLMS benefits realization begins by taking a number of preparatory steps before the new solution is deployed.

The following steps will be performed:

- **Select the targeted benefits to be realized from the new system capabilities**: This step has been initiated with the benefits identified in this feasibility study and will

continue to be refined and supplemented through the project's pre-implementation activities

- **Identify the processes that will be improved to produce the benefits**: The business processes related to the targeted benefits will be analyzed and validated in conjunction with key Division staff
- **Select key activities from each business process that may serve as indicators of process improvement:** The relevant business processes will be broken into smaller sub-processes and activities in order to facilitate discussions and analysis of current costs and opportunities for improvement using the RLMS's functionality and capabilities; estimated cost elements for each sub-process will be assembled into a RLMS Benefits Realization Workbook; this will produce a large number of cost elements, which will be impractical to routinely track therefore, the values for a few key activities should be chosen as meaningful measurements of process improvement and cost reduction
- **Develop a plan to measure these key activities** (e.g. labor, duration, resources, quantity, quality, etc.): The plan should include what is to be measured and by whom and should fully describe the method for taking the measurements so that different individuals would obtain the same results.
- **Measure baseline values for key process activities before the RLMS is deployed**: The measurement plan should be carried out until it is understood by all participants; then baseline measurements should be taken before system deployment so that before-and-after comparisons may be made
- **Set process outcome improvement goals based upon the estimated solution benefits**: The cost reduction benefits from using RLMS have been estimated based on the areas that are believed to most benefit from the new solution; once the estimated benefits are being realized, outcome improvement goals may be revised to obtain even greater benefits; the benefits realization management cycle can be employed as part of on-going continuous process improvement activities

After implementation of the RLMS, benefits realization management will consist of recurring cycles of the following actions:

1. Use the RLMS's capabilities and functionality to improve business process outcomes (e.g. lower cost, higher output, improved quality, etc.)
2. Measure the actual process outcomes
3. Compare the actual outcomes to the goal outcomes
4. Compute actual benefits realization
5. Make changes to RLMS user processes or procedures, to the measurement plan, or to the process outcome goals – based upon the actual measurement results
6. Review and update the key process outcomes measurement plan, as required
7. Review and update process outcomes improvement goals, as required

4.3.4 RISK ANALYSIS

All three options being evaluated are complex and challenging. Implementation timelines are measured in years (not weeks or months) and require significant resources invested to achieve successful completion. Because of their complexity and breadth, they share many of the same risks but differ in the likelihood and severity of impact of each of the risks. The Exhibit below highlights the common risks which may be encountered during the implementation regardless of the selected option along with the likelihood and severity of impact of each of the risks. Each option was given a score of High, Medium, or Low for each risk based on the likelihood of occurrence for each risk. For scoring purposes High = 1 points, Medium = 2 points, and Low = 3 point. The average points for each option is then calculated.

RISK	OPTIONS CONSIDERED		
	OPTION 1: EDW LEVERAGING AN EXISTING SYSTEM	OPTION 2: COTS RLMS	OPTION 3: COTS PLATFORM RLMS
Loss of political / executive sponsorship	High	Medium	Medium
Ineffective governance processes prevent decision making	Medium	Medium	Medium
Funding not available	High	Medium	Medium
Third party software developers and/or COTS implementation experts not available	High	Low	Medium
RLMS users not able to adapt to new system and processes	Medium	Medium	Medium
Lack of office and Division buy-in and support	High	Medium	Medium
FDACS may not have the skills, experience or number of resources to design, develop, test, and roll out the solution	Medium	Medium	Medium
Business processes not standardized	High	Low	Medium
Sufficient resources are not assigned to perform ongoing system support and upgrades	Medium	Low	Low
Average Risk Score	1.3	2.3	2.1

Exhibit 22: Risk Analysis

Based on the analysis Option 1 scored 1.3, some of the contributing factors were:

- Length of time to fully implement caused high risk for:
  - Loss of political / executive sponsorship
  - Funding not available
  - Lack of office and Division buy-in
  - Number of resources required
- Customized solution could lead to not standardizing the business processes

Based on the analysis Option 2 scored 2.3, some of the contributing factors were:

- COTS systems are built off of industry standard business processes
- A COTS system will require fewer administrators once implemented than a custom built solution

Based on the analysis Option 3 scored 2.1, some of the contributing factors were:

- A COTS system will require fewer administrators once implemented than a custom built solution

4.4 Recommended Business Solution

The Exhibit below provides a comparison of the three options across each of the key elements of alignment to goals, cost, benefit achievement, and risk.

Review Categories	Options Considered		
	Option 1: EDW Leveraging an Existing System	Option 2: COTS RLMS	Option 3: COTS Platform RLMS
Alignment to Vision and Goals	1.6	2.8	2.8
Total Cost of Ownership	1	2.5	2.5
Achievement of Benefits	1.8	2.4	2.6
Risk	1.3	2.3	2.1
Average Score	1.4	2.5	2.5

Exhibit 23: Summary Analysis

Based on the analysis Option 2 COTS RLMS and Option 3 COTS Platform RLMS have nearly identical combined scores across each of the key elements. For the purposes of this business Option 2 is the recommended option due to the slightly lower external budget request, overall cost of ownership ($36M), and the quicker time to breakeven, in FY 2020-21, as evidenced in the Exhibit below.

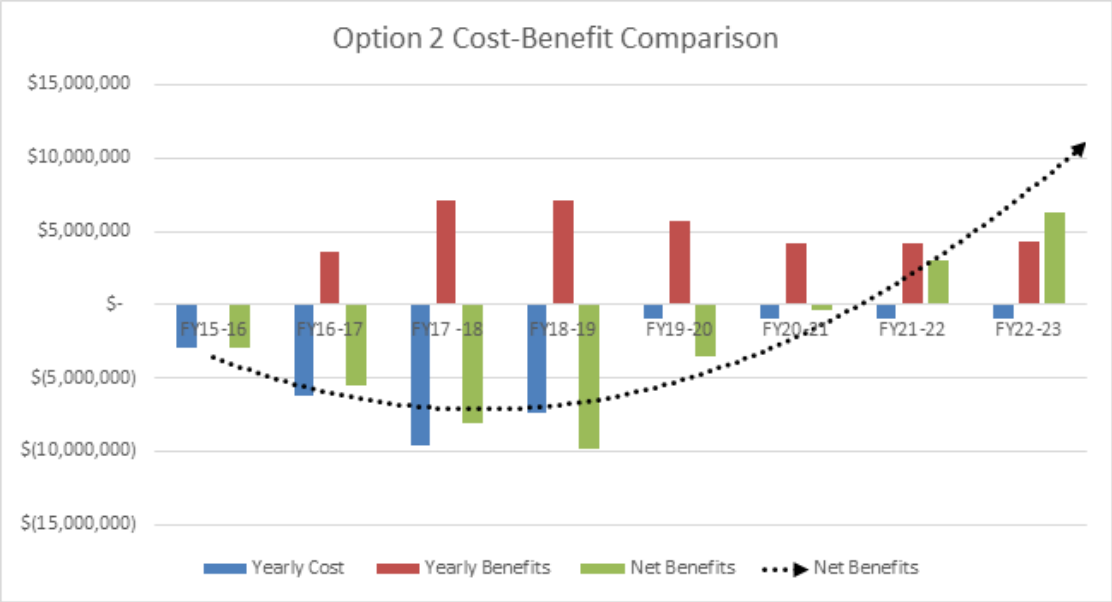


Exhibit 24: COTS Solution Cost-Benefit Comparison

However, it would be beneficial to the Department to include both options in a future procurement and let the market determine the best value to the Department.

Comprised within the Total Cost of Ownership figure for each Option is the "Additional Required Expenditures for Project," which is essentially the additional appropriations needed for the project. In selecting Option 2, FDACS will need to request an additional $23.69 million over the course of four years in appropriations for a new enterprise regulatory system with a revenue component. The additional funding request for Option 3 will be slightly higher than that of Option 2's $23.69 million.

Please see the attached Cost Model document for additional details surrounding the related costs of each Option.

SECTION 5 FUNCTIONAL AND TECHNICAL REQUIREMENTS

The requirements for functional capability are located in Appendix 3, and the technical capabilities are located in Appendix 4 of this document.

These requirements are being refined further in the current FY 15-16 Pre-DDI project, which will produce current and future sate process maps, use cases, and requirements used in support of system procurement and implementation.

SECTION 6 APPENDICES

6.1 APPENDIX 1 – CURRENT RLMS PROCESS CHART AND PROCEDURE DESCRIPTIONS

Regulatory Lifecycle Management System Framework

6.1.1 APPLICATION

The Application regulatory process evaluates an applicant's credentials for an initial application, renewal, certification, registration, or permit to determine if the statutorily-established minimum requirements are met.

6.1.2 LICENSURE

The authorization, licensing, and permitting regulatory processes are comprised of procedures that include but are not limited to a complete administrative review of the minimum compliance requirements, money processing, and official documentation of application for full licensure status.

LICENSURE REGULATORY SUPPORTING PROCESSES	
Money Processing and Reconciliation	Division receives payment for licensure and performs reconciliation predominantly through FLAIR or ROC.
Administrative Review	Examination of the necessary requirements needed to fulfill the minimum compliance requirements for licensure.

LICENSURE REGULATORY SUPPORTING PROCESSES	
Documentation for Retention	Scans of documents are taken and either manually stored or uploaded to disparate databases for record keeping.

6.1.3 COMPLIANCE

The Compliance regulatory process ensures fulfillment and maintenance of the compliance requirements for duration of licensure. This process is comprised of the following procedures.

COMPLIANCE REGULATORY SUPPORTING PROCESSES	
Case Assignment	Individuals or business entities must display valid registration/license documentation or are either selected specifically or at random to prove they meet the compliance requirements for maintaining licensure.
Training Program	Depending on the Division, completion of a mandated training program(s) is needed to maintain a specific type and level of licensure.
Report to On-site Supervisor	Individuals working within an agricultural business entity report the details surrounding the operations and/or conditions of the business to their on-site supervisors to ensure compliance standards are met and maintained.

6.1.4 INSPECTION

The inspection regulatory process is the investigation in support of the regulatory requirements of the individual programs. Within the Inspection regulatory process, there are supplementary procedures that fall under this activity.

INSPECTION REGULATORY SUPPORTING PROCESSES	
Site Visits	Inspectors will conduct on-site visits either by schedule or at random to determine if a site meets the compliance requirements for maintaining licensure.
Facility Reports	Inspectors will verify the operations or conditions of agricultural facilities are up to code and meet the compliance standards as through a specific checklist determined by the Department.
Best Management Practices (BMPs)	In adopting BMPs, a legal (contractual, statutory, etc.) obligation is created for adherence to the BMPs; after which, auditing occurs to ensure adherence to the BMPs.

6.1.5 ENFORCEMENT

The enforcement regulatory process handles complaints, on-site inspection reports, unlicensed activity, and administrative reports to ensure they remain within Florida's regulatory statutes and administrative rules, and issue disciplinary final orders of findings that violate the regulatory statutes. Within the enforcement regulatory process, there are supplementary procedures that fall under this activity.

ENFORCEMENT REGULATORY SUPPORTING PROCESSES	
Documentation for Retention	Scans of documents are taken and either manually stored or uploaded to various databases for record keeping.
Complaints	Customer complaints are received in the form of phone calls and emails.
Investigations	Based upon customer complaints, observed activity, or inspections, investigations may be opened against an individual or business entity if their ability to meet compliance standards is questionable.
Issuance of Restrictions and/or Penalties	If individuals or business entities fail to meet the compliance standards, then enforcement agents have the authority to issue punitive actions or rescind licensure.

6.2 APPENDIX 2 – FDACS FUNCTIONALITY HEAT MAP

FDACS Division

Functionality	Admin.	AES	Law Enforce.	Animal	Aqua	Consumer Services	Forest Service	Food Safety	F & V	Licensing	Marketing & Development	Plant	Water Policy
Case Management	✓	✓	✓			✓		✓	✓	✓	✓	✓	✓
Financials/ eCommerce	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓		
Business Intelligence	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Workforce Management	✓	✓	✓			✓			✓		✓	✓	✓
Mobile Work Force	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Licensing and Permitting		✓		✓	✓	✓		✓	✓	✓		✓	
Geospatial Mapping	✓			✓	✓		✓			✓		✓	✓
Document Management	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

FDACS Division Functionality Heat Map

6.3 APPENDIX 3 – CORE FUTURE STATE FUNCTIONALITIES

- Case Management
  - Lifecycle Management
  - Workflow Application
  - Complaint Management & Disposition
  - Case Prioritization
  - Inter-Division Case Management
  - Emergency Response
- Financials/e-Commerce
  - Revenue Management and Financial Reporting
  - Revenue Collection (Portal, Mail)
  - Reconciliation
- Business Intelligence
  - Reporting (Internal and Public)
  - Data Analytics
  - Data Mining
  - Executive Dashboards
- Workforce Management
  - Calendaring/Scheduling
  - Route Management
  - Resource Utilization
  - Online Training
  - Performance Evaluation
  - Work Prioritization
- Mobile Work Force
  - Mobile Inspection
  - Data Synchronization
- Licensing and Permitting
  - Application
  - Licensure

  - Denial
  - Workflow
  - Renewals
- Geospatial Mapping
  - Business Lookup
  - Risk-based Analysis
  - Invasive Species Tracking
- Document Management
  - Master Document Configuration
  - Custom Document Configuration
  - Document Upload

ADMIN Requirements

- Refunds/disbursement (outside of scope though)
- Receivables
- Doc. Imaging
- Payments to Applicants

DoL Requirements

- Better print interfaces
- Doc. Management
- Workflow
- OCR
- Scanning
- Case Management
- Redaction Tools
- Supplementary things to consider: performance metrics and automated correspondence
- Would like to have card swipe ability

- Where card contains pertinent information (kind of like RFID tech)
  - Reduces paper processes
- Potential for Fingerprint Retention

6.4 APPENDIX 4 – LIST OF TECHNICAL REQUIREMENTS

6.4.1 INFRASTRUCTURE

- The enterprise RLMS Infrastructure should be cost-effective, flexible, and scalable
- The solution should utilize the existing Department hardware, software, storage, and network to the extent possible to maximize the prior investment in technology (e.g., GIS)
- System should provide integration between Department Data Centers and data hosted in the cloud, where applicable
- System should adhere to applicable Department and State of Florida information technology security standards, policies, and procedures
- System should provide access to the Divisions' API in order to better share and view important information and data
- The overall System should be able to be maintained by Department personnel after the deployment period and a reasonable period of knowledge transfer
- System should support integration with mobile device technology currently available in the market
- System should provide Data Analytics/Data Mining capabilities in a manner that does not degrade system operations or performance

6.4.2 USER ACCESS MANAGEMENT

- System should provide the ability to define user-based role access by Division, Office, and position title, as determined in the Application Development Standards document
- System should provide the capability for administrators and authorized business users to configure access management

6.4.3 MAINTENANCE

- System should allow maintenance activities that do not invalidate the upgrade path
- System should allow Department personnel to coordinate planned maintenance activities

6.4.4 DATA

- System should provide data segregation for Divisions and/or Offices defined by the Department

- System should provide data encryption capabilities for the database for specific Divisions and/or Offices defined by the Department
- System should provide Extract, Transform, and Load (ETL) capabilities for the Implementation
- The Solution must provide an enterprise data model for the solution

6.4.5 DISASTER RECOVERY

- System must provide Disaster Recovery capabilities with negotiated SLAs within agreed upon timeframes to return to full operations
- System must provide Data Backups with frequency and retention period defined by the Department

6.4.6 TECHNOLOGY ROADMAP

- System should provide foundational releases that do not impact any existing customizations

The Vendor should provide annual and quarterly advance communication for upcoming products and enhancements

FDACS Regulatory Application Portfolio Profile

Department Organization		Business Function			Regulatory System Profile								Business Process	Information Management			Regulatory Activity					Fees and Revenue Handling				Processing Volume					Business Categorization		System Documentation		
Division / Office	Bureau(s) / Office	Business Program	Business or Professional Categories Regulated by Program	System Name	Acronym	Brief Description of System	Platform / Technology	Location / URL	Custom / COTS	Criticality	Data Confidentiality and Status (if applicable)	Use of bio-coding or GIS Used for Addresses (or other)	Brief Description of Business Process	Data Collection Method (Means of Receiving and Managing Information)	Interactions, Dependencies With Other Systems (FDACS, federal, or other)	Correspondence Tracking	Regulatory Type: Certifications (, License s, Permit/, Registration #, Other-#)	Authorizing Statute or Cooperative Agreement	Name and Identifying Number of Required Form(s)	Location /URL of Form(s)	Required Inspections, Reviews, Audits, or Investigations	Fee Type (Fee-#, Renewal-#, Other-#)	Penalty	Public Payment Method	Backend System	Certifications + Licenses +, Permit # Registrations #, Other-#(For Past Fiscal Year)	Total Number of Business Entities Regulated (Per Last 3 Years)	Number of New Applications or Requests per Month / Fiscal Year (Past 3 Years)	Number of Cancellations per Month / Fiscal Year (Past 3 Years)	Average Time to Process (Past 3 Years)	Business Identifier Assigned	Standard Industrial Classification (SIC) or North American Industrial Classification System (NAICS)	Existing functional Requirements Documentation	Existing Business Process Documentation (type and date of currency)	Data Dictionary (if available)
Division	Bureau	Program	Profession	Department of Agriculture and Consumer Services System	DACS	Provides personnel data to other department applications, and extract of this data is loaded nightly into the geospatial data (GIS) integration warehouse.	Oracle / Oracle Tools	Client server application	Custom	High	Contains personnel data	N/A	See column J.	See column J.	Requires People First data feeds	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Administration	Director's Office	Mentions data related to administrative functions. Contains lookup tables used department wide.																																		
	Director's Office	Agency Clerk's Office	N/A	Agency Clerk	FIML	Assigns administrative complaint and/or sequence numbers to actions taken by the Department	Oracle	http://oasprod.77.7f6/forms/frmservlet?config=fml_pdx	Custom	High	N/A	N/A	Allows regulatory programs to track administrative fines and complies with Chapter 120, F.S.; assignment of sequence number	Paper and electronic from regulatory program areas. Documents scanned into EDI	FLAIR	N/A	N/A	Chapter 120, F.S. Chapter 5A-1A, FAC. Ordering Agency Orders	N/A	N/A	N/A	Administrative Fines paid by check or money order mailed to PO box. Payment thru ACH.	N/A	N/A	Regulatory program areas requested to provide complaint numbers and/or sequence numbers. Agency Clerk is by calendar year not fiscal year.	N/A	N/A	N/A	N/A	Administrative Complaint number assigned; sequence number assigned by database	N/A	N/A	N/A	N/A
	Finance and Accounting	Revenue Section	Collects, tracks and reconciles revenue collected for regulatory activities in the divisions.	Revenue Receipts System	REV	The system was designed to process all revenue received by the Bureau of Finance and Accounting in Tallahassee. The transaction and payment data is entered into the Revenue Receipts system via a web-based, and CASH SHEETS and FLAIR CODING SHEETS are printed. The CASH SHEETS accompany the source documents and are sent to the program areas. The FLAIR CODING SHEETS are used to manually input transactions into FLAIR. The Revenue Receipts is also a record of FLAIR transactions. Other types of transactions are automatically uploaded to FLAIR from	Oracle/Oracle Tools	http://mydacs.local:9000/webfiles_cplsch/hrs/hrs_index.htm	Custom	High	Contains financial data	N/A	See column G.	Web enabled Intranet Oracle application, data uploads	Division applications retrieve data - DOCS, FIML, AES. Interfaces with FLAIR	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Finance and Accounting	Revenue Section	Handles fees related to regulatory activities processed in other systems.	Revenue Online Collection	ROC	Allows agency customers to pay renewal fees or invoices online. The customer can attach supporting documents with their payment.	Oracle/email services/.Net	http://www.freshfloridacs.com/Pay-Online/	Custom	High	Contains financial data	N/A	See column G.	Net Internet application	Validation is done for customers to access the system (using web services); Process payment through iSourOnline (DOS) Payment Processor; Interfaces with Bank of America Gateway vendor iSoveution; integration with	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Finance and Accounting	Revenue Section	Regulatory activities are processed in other systems.	Enterprise e-Commerce System	EGC	Accepts and processes e-Commerce payments for Consumer Services, AES, Food Safety and Fruit and Vegetables. Integrated with FLAIR.	Oracle /email services/.NET	https://www.fdacsonline.com/Store/Home.aspx	Custom	High	N/A	N/A	See column G.	Net Internet application	Interacts with Consumer Services (AES, Food Safety/M&FV/FAR System/ Financial Information System / Mel Server / Bank of America/iSoveution/FLAIR	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Agricultural Environmental Services	Bureau of Compliance Monitoring and Bureau of Agricultural Environmental Laboratories	Feed, Seed, Fertilizer and Pesticide	Feed, Seed, Fertilizer and Pesticides	AES Laboratory Information Management System	AES-LIMS	The lone product LIMS tracks pesticide, seed, fertilizer and feed samples. The system allows the staff in regulatory develop and website component used for licensing and compliance requirement tracking.	Oracle / web executables	http://lims.fdacs.gov/	Customized COTS	High	No	Other- Location Based on groundwater monitoring samples are lat/long numbers	See Document Inventory - Bureau of Agricultural Environmental Bureau of Entomology and Pest Control Documentation	Electronic and Forms	Dependent upon Revenue Accounting System, Enterprise Invoicing System, Sample Submission Tracking System administration application that receives Bank of America data and uploads data to the state's accounting system FLAIR	Correspondence is created through the system and stored in a shared drive	N/A	No investigations are required for certification/licensure	Yes; A fee is required for initial licensure and renewal	There are no penalties issued for late fees. Late fees are added. No administrative action may be taken. A penalty is issued for feed and fertilizer samples that are not in compliance with F.S.	On-line payments through ROC. Payment Processor. Bank of America	N/A	613 - Feed Distributors 918 - Seed Dealers 845 - Fertilizer Companies Licensed 1,860 - Fertilizer Specialty Products Registered 2,249 - Seed Dealers Licensed	3,698	We do not track this information 1,000 annually 120 annually	75 cancellations annually	1-2 weeks	Company Name and License number	N/A	See Document Inventory-AES LIMS Process Flow (Bureau of Agricultural Environmental Laboratories (B.documents); Florida Seed Functional Specifications (B.documents); Florida Fertilizer Functional Specifications	See Document Inventory-AES LIMS Process Flow	Request from division DO
	Bureau of Compliance Monitoring, Bureau of Agricultural Environmental Control, Bureau of Entomology and Pest Control, Mosquito Control, Bureau of Compliance Monitoring, Bureau of Environmental Agricultural Laboratories	Feed, Seed, Fertilizer and Pesticide; Pest Control; Mosquito Control; Feed, Seed, Fertilizer and Pesticide	Pesticide Applicators/Dealers; Pest Control; Mosquito Control	Agricultural Environmental Services Sunbrush System	AES-SUNTRACK	Tracks licensing of pesticide applicators and dealers (commercial and household). Bureau of Entomology and Pest Control/Mosquito Control Compliance Monitoring (BCM) license renewal with are a commerce component for 21 new and renewal license types.	Oracle / Oracle Tools / .NET	http://aa450.dacs.state.fl.us/STTB/Forms/Forms.aspx and http://aa450.dacs.state.fl.us/STTB/Forms/Forms.aspx?wsrpnameMyWork=OK.	Customized COTS	Low	N/A	No	See BEPC Business Processes_2014.docx Compliance determinations are made based on information contained in the documentations, and correspondence (including, where applicable) administrative action is generated based on resulting determinations. Inspectional data is entered into the Sunbrush application documents and input into an MS Access database application I Compliance DEDS indicts facilitate data tracking and reporting.	Electronic and Forms /Manual Application forms used to input data into the Sunbrush application and eCommerce electronic forms input information directly into system)	Dependent upon Revenue Receipts Accounting System, Enterprise Invoicing System, eCommerce Enterprise E-Commerce	Correspondence is created through the system and stored in a shared drive. Letter stamping initially through Finance and Accounting	No investigations are required for certification/licensure. CS-483.061, F.S. mandates personnel to perform inspections and investigations.	No investigations are required for certification/licensure. CS-483.061, F.S. mandates personnel to perform inspections and investigations.	Yes, F.S. O-Penalty Administrative; O-Late Fees;	Administrative Fines and Late fees	AES-Suntrack	Yes. These use AES Licensing Website: Limited Commercial Landscape Maintenance Limited Commercial Fertilizer Application Limited Lawn and Ornamental Pesticide Application Limited Wildlife Certificate Limited Commercial Landscape Maintenance Limited Commercial Fertilizer Application Limited Lawn and Ornamental Restricted Use Pesticide New Commercial Applicator and Commercial Applicators Pesticide Dealer License Limited Certificate for Urban Landscape Commercial Fertilizer Limited Botanical Certificate Limited Wildlife Certificate	N/A	~ 14,266 (BCM) (See "License counts for Sunbrush.docx" file in Bureau of Entomology and Mosquito Folder in Business Processes folder in BEPC folder)	Pesticide Dealers - 722; 4,245 companies licensed to apply pesticides and approx 12,200 Feed certificate holders	Differs by business area 11,244 New applicator licenses (CS-483.061, F.S.) 26 Dealer Licenses FY10/11 - 757 new FY11/12 - 722 new FY12/13 - 820 new	Differs by business area FY10/11 - 17 new FY11/12 - 14 new FY12/13 - 16 new	Dependent on License Type- 3.5 hrs avg on JB; 1.5 hr avg on Linkedin. Less than 5 business days generally	License Number issued by database. In addition to the business, a unique identifier (DOB+4 digit PW)for persons	N/A	Limited - documentation for adding new system users and for adding new licensure types. Placed in "Sunbrush Documentation" folder - See DOS_P this documentation is needed but note that it was created for a previous process diagram, which is noted in the Document Inventory and is available.	See Document Inventory – Process Diagrams	Not available
	Bureau of Compliance Monitoring	Feed, Seed, Fertilizer and Pesticide	Feed, Seed, Fertilizer and Pesticides	DOI Database	DOI	Tracks the bureau's inspections of seed, feed, and fertilizer for the BEPC.	Access	http://lims.fdacs.org/	Custom	High	n/a	No	Database for inspectors to record daily inspection activities/actions. (BCM Feed Field Inspection Manual; Fertilizer Field Inspection Manual; Seed Field Procedural Manual)	Electronic	N/A	N/A	O - Inspection	Ch 487, F.S.; Ch 576, F.S.; Ch 578, F.S.; Ch 580, F.S.	n/a	n/a	Inspection	N/A	n/a	n/a	N/A	n/a	n/a	n/a	n/a	n/a	Company Name, location and unique identifying number assigned by database	n/a	Not available	See Document Inventory-Process diagrams (Feed Inspection, Fertilizer Inspection, and Seed Inspection); Operating procedures (Feed, Seed, and Fertilizer)	Not available
	Bureau of Compliance Monitoring	Aircraft Registration	Aircraft Owners	Aircraft Registration Database	ARDatabase	Tracks all aircraft applied pesticides, fertilizer or seed products in Florida.	Access	\\FDAFS\data\Aircraft\	Custom	Medium	No	No	See column G and Process Diagram	Registration applications are sent in via mail or electronically via Nuxtimail.	N/A	All correspondence is filed by FLAIR number in paper form. Emails/phone calls are not tracked.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Bureau of Compliance Monitoring	Pesticide Compliance	Non-structural pesticide distribution and use	Compliance DEDS Database	CATS	Tracks non-structural pesticide inspections, violations, and administrative actions	Access	Comp (\\fdacsuser01\Compliance\DEDS.mdb)	Custom	High	No	No	Non-structural pesticide compliance inspections are performed by field specialists. Inspection documentation is scanned and submitted electronically to the Compliance staff. Compliance and compliance determinations are made based on evaluation of documentation. Compliance determines if administrative actions (as applicable) are issued and tracked in CATS system. (BCM Folder - Pesticide Procedural Manual; Case Upon Completion of BEPC Business Processes_2014.docx	Inspection data is manually extracted from inspection documents and input into system by field supervisors and case review personnel	Frequent programatic interactions with the Pesticide Registration Tracking System (RTS), but no direct programatic interdependencies between CATS and RTS systems	System tracks relevant dates and status of administrative actions, as well as overall firm compliance history	N/A	Inspections and investigations required, authorized under Ch. 487.071 F.S.	Penalties in the form of warning letters or administrative fines may be issued based on documented instances of non-compliance	Most administrative fines can be paid via ROC	N/A	Approximately 2,000 non-structural pesticide inspections were entered and tracked in the system during FY12-13	Approximately 1,800 business entities inspected during FY 12-13	N/A	N/A	N/A	N/A	N/A	None	See Document Inventory-Pesticide Field Sampling Manual; Pesticide Procedural Manual; BCM- Compliance DEDS Process Diagram	Not available
	Bureau of Entomology and Pest Control	Pest Control, Mosquito Control; Pest Control; Feed, Seed, Fertilizer and Pesticide	Pest Control; Mosquito Control	FD - AES Image Applications	FD-AES	Provides permanent records retention. Stores scanned documentation submitted electronically for the Bureau of Entomology and Pest Control and Bureau of Compliance Monitoring.	Oracle / web executable (Imaging customer) Oracle View One	http://fdacs.dacs.state.fl.us/ap/	Customized COTS	High	No	No	All correspondence and completed applications are manually scanned and index by clerical staff	Dependent upon AES Sunbrush data	Manually scanned and indexed	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	- Number of Scanned Images since July 2011 - 281,245	All applications and correspondence. 4,245 regulated companies; employing 29,370 persons and approx 52,500 linked	FY11/12 - 8264/mo FY12/13 - 9337/mo	N/A	Batches of 50 documents take about 5 minutes to index. We have 1-5 FTE handling the scanning and indexing.	Department Issued License or Certificate number	N/A	N/A	Not available
	Bureau of Entomology and Pest Control	Pest Control	Pest Control	Electronic Funigation Notice Submissions	FUMIGATION	Collects and tracks fumigation business owners notice of fumigation data; allows pest control field inspectors to search all submitted fumigation orders. (All licensees performing a general fumigation must submit a note of fumigation at least 24 hours in advance of a fumigation.)	Access / .NET	http://apps1.fdacs.org/fumigationlog in.aspx and http://apps1.fdacs.org/fumigationNew/wizNewUser.aspx	Custom	High	N/A	N/A	CS 482.051(4), F.S.; Ch 50-14.110, F.A.C. Regulated industry is required by regulation to provide 24 hour notice prior to any structural fumigation. Website allows regulated industry fumigators (who are registered with the Department) to enter the mandated information directly into a	Online website (http://apps1.fdacs.org/fumigationlogin.aspx) Fumigation Notice Form	Dependent upon AES Sunbrush data	N/A	F	CS 482.051(4), F.S.; Ch 50-14.110, F.A.C.	FDACS-13667	FLT_Storing\FLAIR_DATE\BPC\BPC\BPC Forms_2013 and Forms_pdf_2014	FDACS inspectors check that notices were filed within system PRIOR to fumigation being performed on site.	N/A	Approximately 50,000 fumigation notices per year	Average 4,200 notices per month (lighter in winter; heavier in summer)	N/A	Licensees spend approximately 5 minutes entering information required on form 13667	Uses Department issued license number	N/A	N/A	Not available	See Document Inventory - Operating procedures; BCP Fumigation Tracking Process Diagram	Not available
	Bureau of Entomology and Pest Control and Bureau of Compliance Monitoring	Feed, Seed, Fertilizer and Pesticide	Pesticide Applicators; Pest Control; Mosquito Control	Pesticide Applicator Continuing Education Units	CEU	Tracks trainer-submitted classes for approval for CEU credit. The public can search to view data related to an applicator, dealer, and company specifically their available and completed CEUs, earned CEUs, and exams.	Oracle / Oracle Tools / .NET	https://compass.dacs.state.fl.us/forms/forms/Training/Training	Custom	Medium	No	No	Registered providers have access to electronic system to submit planned CEU program agendas, requested category, and classroom location and date of offerings. Information is reviewed by staff and approved or denied in the system.	Electronic website URL (https://compass.dacs.state.fl.us/forms/forms/Training/Training)	Sunbrush Applicator Data	All correspondence is filed alphabetically by Company name.	F	CS-482.111(10), and 482.151(8), F.S.; Ch 50-14.110(2), and 50-14.1321, and 50-14.1421, F.A.C.	FDACS-13325 (shared)	FLT_Storing\FLAIR_DATE\BPC\BPC\BPC Forms_2014 and Forms_pdf_2014 http://forms.freshfloridaca.com/13325.pdf	Annual CEU audits performed by field inspectors as a Special Enforcement Operation	No	N/A	No	N/A	C - Approximately 8,500	Approximately 450 registered CEU providers	Approximately 30 programs a month - heavier January to June	average 15 providers dropped from system	Takes a provider approximately 20 minutes to enter a program into electronic system for approval. Must be entered 3 weeks prior to program. Staff normally reviews and approves within 2 weeks.	Uses Department issued Certification credential	N/A	N/A	Not available	See Document Inventory - Operating Procedures; BCP and BCM Pesticide Applicator CEUs Process Diagrams	Not available
	Bureau of Pesticides	Pesticides	Pesticide product review and registration	Registration Tracking System	RTS	Tracks registrations for all pesticide products sold in Florida; interfaces with Revenue and e-Commerce for payments; allows for collection and tracking of a special fee on certain pesticides and collected fees support a pesticide program in the Division of Food Safety.	Oracle / Oracle Tools	http://www.freshfloridacs.com/Industry-Industry/Search-for-Registered-Products-and-Registrations	Custom	High	No	No	Registrant submits application for new product registration and pays registration fee via eCommerce website. Supporting documents are mailed to the registration coordinator. Registration Tracking System Coordinator. Confirmation letter of registration is sent to registrant. Biennial	Company information is manually entered into RTS by BoP staff when the company is new to registering pesticides in Florida. Product information is manually entered into RTS by Registration Coordinator and verified by BoP staff. Payer information is	Dependent upon Revenue data; Enterprise E-Commerce; Weekly registration data is forwarded to Environmental Protection and National Pesticide Information Retrieval System (NPIRS)	All correspondence is filed alphabetically by Company name. All supporting documents are required to be submitted in PDF. Emails/phone calls are not tracked.	N/A	Pesticide product registration is subject to a label review by BoP staff. No forms required. Monthly audits are performed on registration fees collected. Sample Pesticide product registration is subject to a laboratory analysis. Pesticide product registration is subject to a label review by BoP staff. No forms required. Monthly audits are performed on registration fees collected. Sample	Late fees are assessed during biennial renewals.	New product registration and biennial renewal payments are processed via vision. Occasional partial payments are processed by ROC.	Registration Tracking System (RTS)	9 - 14,813	1701	108	2-3	2 Weeks	Company ID in RTS, FAO with Finance and Accounting. The first letter of the Company Name and the corresponding number in the alphabet for the	No	Not available	See Document Inventory- Checklist for eUpdate Submissions, New Product Registration, New Product Brand, Product Renewal, RTS Procedures Process Diagrams	See Document Inventory - RTS Data Dictionary
Agricultural Law Enforcement	Bureau of Investigative Services/Bureau of Uniform Services	Criminal Investigation	Criminal Investigation	ACISO Case Management	ACISO	Tracks case management for investigators and uniformed operations; reporting.	SQL Server / ASP	http://fdacsweb.com/Accounts/	COTS (Internet Hosted by ACISO Systems)	High	Yes - Florida Statute 119.071	No	ONLY BIG/NLO enter case information into ACISO for criminal investigation, suspects, witnesses and evidence collected	Data is collected by the investigators and officers through the investigation process.	None	None	O	Florida Statute 570.073	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Bureau of Uniform Services	Information Gathering for DOI	Any Commercial Vehicles	Bill of Lading Scanning System	BOL	Tracks bill of lading information; interfaces with Commerce Transport Imaging System.	Oracle/ AV Windows	http://lims.dacs.state.fl.us/ap/	Custom	Medium	Yes -Florida Statute 212	No	ONLY and DOI entered into an agreement to share information on agriculture commodities entering the state.	BOL officers scan and transmit bills of lading to the Bureau of Agriculture Commodities. DOI reviews the BOL's to determine if the companies engaged in the shipping of the commodities are complying with the states tax laws.	Commerce Transport Imaging System; Information shared to Department of Revenue. Nightly data transfer to Florida Department of Revenue	None	O	MOU	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Available through DOR (upon request)	N/A	Not available
	Bureau of Uniform Services	Inspections/Enforcement	Any Commercial/non-commercial vehicles	Commerce Transport Imaging System	CTIS	CTIS stores and displays data and document images collected for all agricultural products that arrive at interdiction stations; images of documents such as driver's driver license and bills of lading are scanned; interfaces with Bill of Lading system; used by Division of Law Enforcement, Department of Agriculture and Consumer Services, Agricultural Environmental Science, and the Division of Aquaculture.	Oracle / Oracle Tools / Enterprise Imaging / .NB	http://lims.dacs.state.fl.us/ap/	Customized COTS	High	No	No	ONLY BIG performs regulatory inspections on commercial and non-commercial vehicles entering and exiting the state. These inspections are conducted on behalf of other divisions through our regulatory authority. Department officers are required to determine if they are dealing with any commodities that the department regulates.	Certain agriculture commodities require specific documentation as required by law, rule or marketing orders. ONLY collects other FDACS divisions through our regulatory authority. Department officers are required to determine if transporters are complying with these requirements when entering and exiting the state. These required documents are scanned into CTIS and attached to the appropriate division.	Bill Of Lading system	None	O	No	N/A	N/A	User audit is preformed annually	N/A	N/A	N/A	N/A	N/A	84922 documents scanned for 1/1/2013 - 12/31/2013 year	ONLY simply scans the information which is then available for the different divisions.	N/A	N/A	N/A	N/A	N/A	N/A	Not available	See Document Inventory-CTS BOL Description of Process; CTS BOL Process Diagram	Not available
	Bureau of Uniform Services	Tag Recognition	Commercial vehicles	Tag Recognition System	N/A	Automated Tag Recognition System that scans trucks against the National Crime Information Center and Be On the Look Out (BOLO) systems.	N/A	N/A	N/A	N/A	N/A	N/A	The TRS system automatically captures an image of the front and rear of each vehicle as they pass by an ag inspection station. The location and container ID are read from the images and used to query NCIC and BOLO lists.	Cameras at each Ag inspection station capture images of the front and rear of each vehicle. The images are stored on a local server for safe keeping.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Agricultural Water Policy	N/A	N/A	Producers of various agricultural commodities.	Best Management Practices Tracking System	BMPTS2	The BMPTS system covers the core needs of FDACS Office of Agricultural Water Policy (OAWP). BMPTS2 is a complete redesign of the original BMPTS system and version is used for data storage and tracking system for producer enrollment OAWP best management practices (BMP) programs. The system allows for entry of agricultural landowner/leaseholder contact and farm information, and data on the BMPs that are applicable to the agricultural operation. OAWP staff can generate several "canned" reports from the system that show BMP enrollment, including reports that support two of OAWP's legislative budget performance measures. The system has the ability to which other modules can be attached to further automate OAWP's business; for example, a mapping component, field data collection and cost-share tracking are all modules that could be added.	SQL Server 2008R, .net 4.5 website written in VB	Mayo Cold Room	Custom	High	What is stored in the BMPTS system is not confidential. Anyone who asked for it would keep confidential anything that falls under section 403.067(7)(b), F.S., which states "Agricultural records relating to farm production, farm production, costs of production, profits, or other financial information held by the Department of Agriculture and Consumer Services pursuant to subparagraphs 1. And 4. Or pursuant to any rule adopted pursuant to subparagraph 2. Are confidential and exempt from s. 119.07(1) and s. 24(a), Art. I of the State Constitution. Upon request, records made	None in initial release, but future versions will have per-geospecial data with parcel data recorded in the database.	Field staff assist producers in filling out or BMP forms. Each BMP manual is a pdf. Each form is a pdf. Each form and file produce is either using the practice, intends to or is not for various reasons. We then track the parcels enrolled in the different NOI and track the acres enrolled.	Paper is collected in the field and mailed to Tallahassee where it is entered by hand into the database and mapped.	None	None	Other	None	NOI_NUMBER is used in the new data system. It preserves the legacy numbering. Old new numbers are mirrored from the NOI_ID field in the new NOI table.	http://www.freshfloridaca.com/Agricultural-Water-Policy/Documents-BMPs/BMP-Rules-Manuals-and-Other-Documents	None	None	None	None	N/A	Other-ID 7139 NOIs in BMPTS	3456 Unique Producers in BMPTS	N/A	N/A	N/A	They are not assigned a unique id, the Company Name is a PK, but they are tracked by Name and there are duplicates in the table.	N/A	N/A	May be available in August- new system promoted to production in late July	See Document Inventory-BMPTS2 Business Process Model. Vsd	See Document Inventory - Data Dictionary and ERD
Animal Industry	Bureau of Animal Disease Control	Poultry	Veterinarians, various agricultural entities, consumers	Animal Industry Florida Poultry Database	FDA	Tracks poultry inspections, tests, and diseases; can be used in emergency response; an extract is loaded nightly into the GIS as preparation for emergencies.	Oracle / .NET	http://mydacs.usae.local/portal/pdb/Poultryhome.aspx	Custom	Medium	No	Yes, GIS uploaded nightly	Premises is searched for, if not found entered along with relevant information	Data is input manually	Work is performed in collaboration with the USDA's National Poultry Improvement Plan (NPIP)	N/A	R - Registration of Proprietary information	570-360/L; 5-14 HC, Avian Influenza Cooperative Agreement(USDA)	FDACS-09123, 09074, 09176, 09166	http://mydacs.dacs.state.fl.us/administration/forms/intranet/09123.pdf	Routine inspections performed.	N/A	N/A	N/A	N/A	N/A	1,500	N/A	N/A	N/A	N/A	N/A	N/A	Not available	See Document Inventory-Animal Industry Florida Poultry Database Process Diagram	No
	Bureau of Diagnostic Laboratories	Laboratory Testing Services	Veterinarians, various agricultural entities, consumers	Animal Industry Laboratory Information Management System	USALIMS	A customized version of USALIMS, which has features to ensure laboratory accreditation.	SQL Server / .NET	http://lilhatlims.dacs.state.fl.us/USALIMS/Desktop.cfm?action=login&mode=desktop	Customized COTS	High	No	No	Samples are submitted for testing and results are submitted to requestor	Sample results are collected in the USALIMS application for review and reporting.	No	Invoices can be faxed	N/A	570.36, 585.002, 585.61, SC-13, P.A.C.	Standard invoice	N/A	N/A	N/A	Fee - if for services rendered	N/A	Revenue Online Collection	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Primary key	N/A	See Document Inventory - High Level Technical Requirements	See Document Inventory - High Level Sample Processing Flow Chart; Lab Process Diagram	No
	Bureau of Animal Disease Control	All Programs within the Bureau	Veterinarians, various agricultural entities, consumers	Daily Activity Report	DAR	Tracking and reporting field inspection daily activities for Bureau of Animal Disease Control; intranet; collects budget performance measure information for reporting to LOGA (per cooperative agreements) and reports to USDA (per cooperative agreements). Data is entered in to high speed internet must manually transfer input data when they return to their district office.	Oracle / .NET	http://mydacs.usae.local/DailyActivityReport/	Custom	High	N/A	No	Field staff record hours, miles and events for daily activities	No	N/A	N/A	N/A	N/A	N/A	Data is collected for budget performance measures	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	See Document Inventory -DAR Business Process Diagram	Not available
	Bureau of Animal Disease Control	Swine Garbage Feeding Program	Veterinarians, various agricultural entities, and haulers	Garbage Feeders Database	N/A	Issues and tracks permits for the businesses preparing garbage for feeding to swine.	Access	N/A	Custom	Medium	N/A	Yes, LAT/Long	Division inspector performs inspection prior to approval	FDACS-09119 form filled out and submitted for approval	USDA data is used to post or send to the USDA's program at https://emrcat.aphis.usda.gov/ecs/swinehaz.mf?	Email, forms, letters, phone calls	Yard Garbage to Swine, 09015-P	585.08, 585.51, SC-13.015, P.A.C.	FDACS-09119	http://mydacs.dacs.state.fl.us/administration/forms/intranet/09119.pdf	Inspections prior to approval and then routine surveillance	N/A	Revenue Online Collection for Swine Garbage Feeders	N/A	70	70	An average of 6 over the last 3 FYs	<1	2-3 business days after field inspection is completed and fees received.	Primary Key on the table	N/A	Not available	See Document Inventory-Garbage Feeders Database Business Process Diagrams	Not available
	Bureau of Animal Disease Control	Cattle Program (Primarily)	Veterinarians, various agricultural entities, consumers	Dealer Brand Record	N/A	Stores images of livestock brands.	Access	N/A	Customized COTS	Medium	N/A	No	Consumers submit images of livestock brands for registration	FDACS-09012 form filled out by applicant	No	Email, forms, letters, phone calls	R - Registration of Proprietary information	534.021, 534.041, 570.38	FDACS_09012	http://mydacs.dacs.state.fl.us/administration/forms/intranet/09012.pdf	Verification by in-house staff that brand doesn't already exist.	N/A	Revenue Online Collection for Brand Renewals and Application for New Brand	N/A	182 /avg.	1744 brands on file	An average of 10 per month	Average of 10. cancellations occur for non-renewal or owner cancellation	4 business days	Primary Key on the table	N/A	Not available	Livestock Brands and Dealer Brand Record Process Diagram	Not available
	Bureau of Animal Disease Control	Cervidae Program	Deer Farms, Veterinarians, various agricultural entities, and haulers	Master Cervidae Herd Plans/Permits	N/A	Issues and tracks herd plan / owner permits.	Access	N/A	Custom	Medium	N/A	Yes	Applicants register facilities for Cervidae possession	FDACS-09145, FDACS-09147	Collaboration with FWC but not Fax, email directly through the system	Email, forms, letters, phone calls	R - Registration of Proprietary information	5C-26, 585.145	APPROVED CERVIDAE HERD HEALTH PLAN REVIEWAL FDACS-09147	http://mydacs.dacs.state.fl.us/administration/forms/intranet/09147.pdf	Preliminary and routine inspections	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Not available	Cervidae Herd Health Plan Permits Process Diagram	Not available
	Bureau of Animal Disease Control	Carcass Haulers	Facilities that have carcasses not for human consumption.	Carcass Haulers	N/A	DATABASE COLLECTED FOR APPLICATION AND FORMATTING OF HAULER OF ANIMAL CARCASSES AND REFUSE.	MS Access	\\fadmfilesrv01\Public_share	Custom	Medium			Carcasses are hauled to processing plants or are disposed at approved locations or methods.	Applications are received and permits issued after inspection of vehicles or meters utilized for	None.	Files maintained per FDACS rules.	Permit	P.3, 145.147, FDACS Rule 5C-23	FDACS-09056, Application for Permit to Transport Animal Carcasses/Refuse; FDACS-09261, Inspector's Checklist for	http://mydacs.dacs.state.fl.us/administration/forms/intranet/09056.pdf;	Initial inspection; annual re-inspection upon renewal of permit(s) by District field staff	N/A	ROC	Through F&A	4-11 (owners), P-14(trucks/trailers)	51	48/FY	NA	1-2 wks per owner application						Not available
	Bureau of Animal Disease Control	RAD		Reportable Animal Disease	RAD	THIS SYSTEM IS USED TO TRACK LOCAL AND REGIONALLY IDENTIFIED ANIMAL DISEASES. IT IS AN INTRANET APPLICATION WITH EXTERNAL USERS HAVING FDACS ACCESS. THE SYSTEM IS USED TO TRACK ANIMALS OWNED TRAPPED AND HOLDING FACILITIES OF FERAL	MS Net/ Oracle	http://mydacs.usae.local/forms/RAD.aspx	Custom	High		GPS coordinates can be input	Program Manager or VMO performs investigation and can enter the data. Data can also be entered from laboratory results, veterinarian reports, and phone and e-cards is printed and sent to them. or 2. Field Inspectors fill out application and	Data can be input from any users that have access. Usually done by Program managers or lab technicians based from the application itself and entered into the database	No interactions, but some Florida Department of Health staff have access to	None	None	None		none	none	none	Oracle	none						\\fadmfilesrv02\data_share\APPLIDEV\ADMC Contracts\animal\Reportable Animal Disease (RAD)	Inventor. reads 'Yes' but I can't find it.
	Bureau of Animal Disease Control	Feral Swine Trappers and Feeders	Feral swine trappers	Feral Swine Registration		FERAL SWINE TRAPPING AND HOLDING FACILITIES OF FERAL SWINE	MS Access DB	\\fadmfilesrv01\Public_share\decoys\Boston	Custom	Medium			Owners of facilities wanting to be able to provide equine quarantine submit a written request to the department.		No	If needed, the applicant is contacted by phone to verify information; otherwise the Fax, email, letters	Other - ID card for trapper, certificate for a person that has a holding facility.	Florida rule 5C-21	FDACS-09272, 09258, 09225, 09240, 09242	Intranet	Feral swine holding facilities are required to be inspected annually	No fee	none	none	none	Cards - 1,148 Certificates - 122	1170 Certificates - 2011 -437, 2012 -182, 2013 -93, 2014 (to date) -29 For ID Cards - 2011 - 1,689, 2012 -	9 One week								
	Bureau of Animal Disease Control	Contagious Equine Metritis Quarantine Facility Permit	Facilities that want to quarantine horses	Horse Quarantine Facility Permit		ME Access system to track facilities that have been inspected and paid the $150 dollars to quarantine horses. The facility has 18 months to have CEM activity	Access DB		Custom	Medium					No	Fax, email, letters	Permit	7 A.C.5C-22		Initial inspection of the quarantine facility	Initial fee $150 - if the facility is not used for quarantine within 18 months, another fee of $150	N/A	No	N/A	Permit											Not available
	Bureau of Animal Disease Control	Equine Program	Veterinarians, various agricultural entities, consumers	Master Equine Extension	N/A	Stores permit information for extension of health permit for horses traveling out of state.	Access	N/A	Custom	Medium	N/A	No	See column G and Process Diagram	Applications received by fax, email.	No	Fax, email	Equine Event Extension, 09051-P	585.145, 585.611, 5C-3.003, P.A.C.	FDACS-09078	http://mydacs.dacs.state.fl.us/administration/forms/intranet/09078.pdf	N/A	110 first horse, 55 each additional horse	N/A	Revenue Online Collection for Brand Renewals and Application for Equine Event Extension	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Not available	Equine Event Extensions Process Diagram	Not available
Aquaculture	Bureau of Aquaculture Environmental Services	Aquaculture Certificate Program/Aquaculture Lease Program	Aquaculture Facilities/Aquaculture Leases	Aquaculture Information System	AIS	*** In development *** Stores information about aquaculture farm facilities, certification fees, historical and current aquaculture farms certification status and inspection deficiencies. Inspectors provide deficiency reports or compliance reports onsite.	SQL / .NET	TEST: http://aquatest.freshfloridaca.com/aquacuris/	Custom	Medium	No	No Geo-coding. Coordinates for leases are collected. Intersection Google Maps API. Uses public web site.	See Document Inventory-AIS Business Processes	Manual data entry/Scans	Presumed dependency on and possibly interaction with Revenue Online Collection (ROC)	Hand written documents, applications & audits are scanned in the system. Notes; field for manual entry.	C	597	Aquaculture Cert

Department Organization		Business Function		Regulatory System Profile									Business Process	Information Management				Regulatory Activity						Fees and Revenue Handling				Processing Volume					Business Categorization		System Documentation	
Division / Office	Bureau(s) / Office	Business Program	Business or Professional Categories Regulated by Program	System Name	Acronym	Brief Description of System	Platform / Technology	Location / URL	Custom / COTS	Criticality	Data Confidentiality and Statute (if applicable)	Use-of-Size-coding or GIS Used for Addresses (or others)	Brief Description of Business Process	Data Collection Method (Means of Receiving and Managing Information)	Interactions, Dependencies With Other Systems (FDACS, federal, or other)	Correspondence Tracking	Regulatory Type: Certification-C, License-L, Permit-P, Registration-R, Other-O	Authorizing Statute / Cooperative Agreement	Name and Identifying Number of Required Form(s)	Location (URL of Form(s))	Required Inspections, Reviews, Audits, or Investigations	Backend System	Fee Type (Fee-F, Renewal-R, Other-O)	Penalty	Public Payment Method	Backend System	Certifications + Licenses+, Permit-P Registrations-R, Other-O Past Fiscal Years	Total Number of Business Entities Regulated (Per Last Fiscal Year)	Number of New Applications or Requests per Month / Fiscal Year (Past 3 Years)	Number of Cancellations per Month / Fiscal Year (Past 3 Years)	Average Time to Process (Past 3 Years)	Business Identifier Assigned	Standard Industrial Classification (SIC) or North American Industrial Classification System (NAICS)	Existing functional Requirements Documentation	Existing Business Process Documentation (type and date of currency)	Data Dictionary (if available)
	Bureau of Aquaculture Environmental Services	Shellfish Processing Plant Inspection Program	Shellfish Processing Plants	Shellfish Shippers Database	SheffishShippers	Certifies state shellfish shippers, inspections can be made by authorized state inspection personnel using their print inspection results and when necessary warning letters. Inspector uploads inspection status data when he/she arrives at the office.	Oracle / Oracle Tools / .NET / Access / Postgr ad SQL Directories	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	Medium	No	None	See Document Inventory-Shellfish User Requirements	Manual data entry. Inspections are made by inspection personnel and then uploaded to parent database. Many selections are dropdowns and radio buttons	None	Notes field for manual data entry	C	597	SHELLFISH PROCESSING CERTIFICATION APPLICATION, SHELLFISH PROCESSING PLANT INSPECTION FORM FDACS 13105, SHELLFISH PROCESSING PLANT INSPECTION FORM ADDENDUM FDACS-13012, Warning Letters, renewal letters	http://myfdacs.app.deas.state.fl.us/deasstatus/directory/office/forms_search/	Inspections		None	N/A	None	N/A	Certificates 85	85	85 per year. The majority of these are renewals, however, the first one most of are renewals. The rest of the year, brand new certifications happen on average of 2/month.	0	2 Weeks initial paper work has to be submitted and an inspection must be completed before certificate can be issued.	Shellfish Shippers Number	No	No	No	See Document Inventory-Shellfish Shippers User Requirements; Shellfish Shippers Business Process Flow Diagram	Shellfish Shippers Table Relationship Diagram
Consumer Services	Division-wide use and public-facing	Division-wide	Multiple program areas (See below)	Division Of Consumer Services System	DOCS	Consists of five modules: Compliance, Mediation and Enforcement, Call Center, Do Not Call, and Inspections. Serves as a document repository for CD and AG-wide registration, complaint, and enforcement files, interface allows the public to search for information about businesses, file complaints, and subscribe to the	Oracle / Oracle Tools / .NET / Access / Postgr ad SQL Directories	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	N/A	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database. Uses public facing .NET forms.	Enterprise E-Commerce, Revenue Receipts Accounting System	Yes	See individual business areas that DOCS handles	N/A	N/A	N/A			Lane fees	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	N/A	N/A	N/A	N/A	N/A				N/A	N/A	N/A	See Document Inventory- Data Dictionary
	Director's Office	Continuing Education Provider	Continuing Education Providers	Division Of Consumer Services System	DOCS	Issues licenses to Continuing Education Providers. Tracks all courses offered by providers.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	N/A	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	N/A	Letters issued thru DOCS are tracked with response time parameters	L	472, 5J-17	Application for Continuing Education Provider - Form FDACS 13030-01, Application for Continuing Education Course Approval - DOACS - 10057	www.freshfromflorida.com	N/A		C, R	N/A	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	< 50	50	1	N/A	One at new applications denied or revoked. Approximately 1/month for Board of Professional Surveyors and Mappers to review. The Board meets quarterly, 4 times a year to review these applications. Due to this time	License number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Director's Office	Professional Surveyors and Mappers	Mappers and Surveyors (License by Examination and License by Endorsement)	Division Of Consumer Services System	DOCS	Issues licenses to Professional Surveyors and Mappers, and Surveying and Mapping businesses. Tracks applicants education, employment, history, etc.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	Chapter 472	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	Letters issued thru DOCS are tracked with response time parameters	L	472, 5J-17	Application for Licensure - DACS-10050, Application for Re-examination - FDACS-10051, Application for Reinstatement of Nullified License - FDACS - 10052, Application for Retired Status - FDACS-10053, Application for Certificate of	www.freshfromflorida.com	N/A		E, R	Late fees	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	< 1,785	1,785 (1,676 of which were renewals)	10/month, 115/year	2/month, 25/year	45 days	Businesses are identified with their Board of Professional Surveyors and Mappers to review. The Board meets quarterly, 4 times a year to review these applications. Due to this time		N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Standards	Anti-Freeze and Brake Fluid	Producers, bottlers, reproducers, packagers, wholesalers and retailers of antifreeze products, analysts of petroleum products	Anti-Freeze/Brake Fluid Information Management System	LIMS	Tracks samples and analysis results for anti-freeze. Anti-freeze and brake fluid permitting, penalty module, non-conformance module, standards tracking. Note: Anti-freeze and brake fluid permitting, penalty module, non-conformance module, standards tracking. Note: Interface with Petroleum Information Management Service agencies and Bureau of Standards inspectors	Oracle / Oracle Tools	http://oasprod.dacs.ft/forms/frmservlet?config=PLIMS	Custom	Medium	N/A	N/A	See column G.	Data entry from paper.	DOCS	N/A	R	Florida Statutes 501.94, 526	FDACS-01211 FDACS-01212 FDACS-01213	www.freshfromflorida.com	N/A		F	N/A	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	LIMS	< 8,800	N/A	N/A	N/A	N/A	3 weeks		ISO	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Standards	Metrology	N/A	N/A	Access	Tracks calibrations of artifacts for Industry and Bureau of Standards inspectors.	N/A	Local copy of MS Access	N/A	N/A	N/A	N/A	Provide calibrations of artifacts for Industry and Bureau of Standards inspectors. See column G.	Data entry from paper applications.	N/A	Calibration reports, registration certificates, and invoices	N/A	Chapter 531, Florida Statutes	FDACS-01501 New FDACS form for contract review pending	N/A	N/A		F	N/A	Online payment or check	N/A	< C	N/A	N/A	N/A	N/A		Yes	NIST	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Standards	Petroleum	Petroleum terminals, wholesalers and retailers.	Division Of Consumer Services System	DOCS	This business area regulates facilities where petroleum products are sold, either at the retail or wholesale level. Includes inspection and testing of petroleum fuel measuring devices.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	Inspection data is manually keyed in to database.	LIMS	Notice of Noncompliance	N/A	Chapter 525, Florida Statutes	FDACS-01210 FDACS-01220 FDACS-01222	www.freshfromflorida.com	Inspection		O	N/A	No	N/A	N/A	8500	N/A	N/A	N/A		Facility Number	NIST	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Standards	Service Agencies and Repair Companies	Motor mechanics and registered service agencies	Division Of Consumer Services System	DOCS, Access	This business area regulates both petroleum meter mechanics and registered service agencies. Registered service agencies are contracted by regulated entities to maintain their commercial weighing equipment. Both meter mechanics and service agencies are contracted by regulated entities to perform testing of the weighing equipment, package testing, and price verification testing. This can include incredibly large devices such as milk storage containers in the 1000's of gallons and comparatively small devices such as jewelry scales. Tracks and issues permits to commercial weighing and measuring devices excluding petroleum devices. Tracks permit fees.	Oracle / Oracle Tools / Access	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	Medium	N/A	N/A	See column G.	Data entry from paper applications.	N/A	DOCS	R	Chapter 525.07, Florida Statutes	FDACS-01556	www.freshfromflorida.com	N/A		N/A	N/A	No	N/A	NO	N/A	N/A	N/A	N/A	1 day	Registration number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Standards	Scale and other measuring sectors (excluding petroleum)	All wholesalers and retailers (other than petroleum fuel sales)	Division Of Consumer Services System	DOCS	This business area regulates facilities where weighing and measuring devices are sold, either at the retail or wholesale level. Includes inspection and testing of weighing and measuring devices.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	N/A	N/A	See column G.	Data entry from paper.	N/A	Inspection Report Summary, Notice of Noncompliance	R	Chapter 525, Florida Statutes	FDACS-01017 FDACS-01019	www.freshfromflorida.com	Inspection		C, R	N/A	No	N/A	N/A	N/A	N/A	N/A			Facility Number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Scales and other measuring sectors (excluding petroleum)	Any business using a weighing or measuring device in commerce (other than petroleum fuel sales)	Weights And Measure Permitting System	DOCS	Any business using a weighing or measuring device. Tracks permit fees.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	Medium	N/A	N/A	See column G.	Data entry from paper applications.	Revenue Receipts Accounting System	DOCS	P	Florida Statutes 531	FDACS-01560	www.freshfromflorida.com	N/A		E, R	Late fees	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	N/A	N/A	N/A	N/A	N/A	15 days	Permit number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	N/A	N/A	Consumer Services Register On-Line System	CS-ROV	E-commerce module allows customers to apply and renew and modify certifications for commercial telemarketing sales (telemarketing sales representatives, agents, surveyors, and mapping. Back end functionality allows for receiving and reconciling financial data.	.NET / Oracle Connection Manager / Webserver		Custom	Medium	No	N/A	See column G.	Public facing .NET web form.	Enterprise E-Commerce back-end process	email	See individual business areas that E-commerce handles	N/A	N/A	N/A			N/A	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	N/A	N/A	N/A	N/A	N/A	1 day	Per business program, i.e., does not assign a number but uses the number assigned by business program	N/A	N/A	See Document Inventory-Consumer Services Register Online System Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Health Studios	Health studios	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	R,L	501.015; 5J-4; F.A.C.	Health Studio Registration Application DACS-10300	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10300.pdf	N/A		C, R	Admin fines, injunctive relief and other penalties, cease & desist orders, probationary license, revocation or refusal of license. Criminal penalties include 1st degree misd. and 3rd degree felony/possible	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	2,168	2447	40/month	474/FY	10/120	14 DAYS	Registration number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Motor Vehicle Repair	Auto repair shops	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	R,L	559.904; 5J-12; F.A.C.	Motor Vehicle Repair Registration Application DACS-10900	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10900.pdf	N/A		C, R	Civil remedies, fines, cease and desist orders, probationary license, revocation of license, notice of non-compliance	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	10,731	24509	206/month	2471/FY	13 days	15 DAYS	Registration number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Sellers of Travel	Travel	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	R,L	559.928; 559.9285; 5J-9; F.A.C. (for travel business and 559.928(3); 5J-9; F.A.C. for	Seller of Travel Registration Application DACS-10290 and DACS-10211	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10290.pdf	N/A		C, R	Admin. fines, cease & desist orders, suspending or refusing registration, probationary registration. Criminal penalties include 1st degree misd./possible	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	5,552	5613	178/month	2136/FY	83/1002	15 DAYS	Registration number	N/A	N/A	See Document Inventory-Business Process Flow Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Solicitation of Contributions	Charities, professional solicitors and fundraising consultants	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	O Compliance letter	496; 5J-7; F.A.C.	Solicitation of Contributions Registration Application DACS-10100	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10100.pdf	N/A		C, R	Civil remedies, temporary or permanent injunctions, notice of noncompliance, admin fines, cease & desist orders, probationary license, revocation or refusal of registration, probationary registration. Criminal penalties include 2nd and 3rd degree felonies/possible	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	16599	18832	180/month	2,160/FY	20/240	10 DAYS	Registration number	N/A	N/A	See Document Inventory-Business Process Flow Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Intrastate Mover	Commercial movers within the state	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	R, L	507.03	Household Moving Services Registration application DACS-10960	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10960.pdf	N/A		C, R	Civil remedies, notice of noncompliance, admin fines, cease & desist orders, probationary license, revocation or refuse registration. Criminal penalties include 1st degree misdemeanor and 3rd degree felony.	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	129	957	6/month	106/FY	N/A	10 DAYS	Registration number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Business Opportunities Franchises	Business Opportunities Franchises	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	no	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	O Filing	559.802; 5J-10.002; F.A.C.	Business Opportunity Franchise Application DACS-10100	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10500.pdf	N/A		C, R	N/A	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	2055	2455	27/month	325/FY	N/A	5 days	Filing number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Telemarketing	Telemarketing businesses and salespersons	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	R,L	501.605(5); 5J-4; P.A.C. and for salespersons 501.607(2); 5J-4; P.A.C.	Commercial telephone Seller Business License DACS-10001 for businesses and Commercial Telephone Salesperson Individual License application DACS-10005 for salespersons and PACTIL license for telemarketing registration application DACS-10111	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10005.pdf http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10111.pdf	N/A		C, R	Civil remedies, admin. fines, cease & desist orders, injunctions, notice of non-compliance, probationary registration, probationary registration. Criminal penalties include 2nd and 3rd degree felonies/possible imprisonment	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	11138	15610	716/month	8590/FY	575/8,900	15 DAYS	Registration number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Pawnbroking	Pawnshops	Division of Consumer Services System	DOCS	Licensure of regulated entities.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	no	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	R,L	539.001(3)(c); 5J-5; F.A.C.	Pawnbroker Application DACS-10511	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10111.pdf	Fingerprints		C, R	Civil remedies, admin. fines, cease & desist orders, injunctions, notice of non-compliance, probationary registration, probationary registration. Criminal penalties include felonies/possible imprisonment	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	1464	1616	12/month	144/FY	5/6	10 days	Registration number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Game Promotion	Game promotion	Division Of Consumer Services System	DOCS	Filing of sweepstakes.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	Revenue Receipts Accounting System	DOCS	O Filing	849.094(3)	Game Promotion Filing Packet DACS#Http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10953.pdf	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10953.pdf	N/A		F	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	4163 filings	NA	346/month	4163/FY	NA	13 DAYS	Filing number	N/A	N/A N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Compliance	Do Not Call	Do Not Call List	Division of Consumer Services System	DOCS	Manages list of subscriber telephone numbers (Florida citizens only, not businesses) that businesses cannot call to market products or services.	Oracle / Oracle Tools	http://oasprod.77.ft/forms/frmservlet?config=DOCS7	Custom	High	No	N/A	See column G.	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	N/A	DOCS	O purchase of DNC list	501.059; 5J-6; F.A.C.	Do Not Call List Order Form DACS-10401	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10401.pdf	N/A		F,R	Civil penalties including fines, administrative fees.	Yes. See Document Inventory for Consumer Services: ConsumerServicesOnlineRevenueCollection.xlsx	DOCS	227 lists purchased	NA	7000 /month	100 /month	5 days	Business DD, phone number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Fair Ride Inspection	Fair Ride Inspection	Amusement rides, go kart tracks, water parks, bungee amusement rides	Fair Ride Database	FARS	Tracks inspections of fair rides.	Access	Local copy of MS Access	Custom	High	No	N/A	See column G.	Data entry from paper.	N/A	Sales Force	P	616.242, Florida Statutes, 5J-18, F.A.C.	FDACS-2424 - Owner's Daily Inspection Report - Carnival Amusement Ride FDACS-2425 - Owner's Daily Inspection Report - Ride Attraction FDACS-2426 - Owner's Daily Inspection Report - Go-Kart FDACS-2427 - Owner's Daily Inspection Report - Bungee Amusement Ride FDACS-2428 - Annual Amusement Report FDACS-2429 - Request for Inspection/Reinspection FDACS-2430 - Mechanical, Structural or Electrical Defect FDACS-2431 - Employee Training Record FDACS-2432 - Affidavit of Compliance and	http://www.freshfromflorida.com/Divisions-Offices/Consumer-Services/Business-Services/Fair-Rides	- 9500		F	N/A	Yes. Revenue Online Collection	N/A	< 1750	430	CBD		0.01-5 days	Permit number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Liquefied Petroleum Gas	Liquefied Petroleum Gas	Liquefied Petroleum Gas	Liquefied Petroleum Gas Database	LP Gas	Tracks LP gas inspections and licenses renewals along with associated revenue. Provides training.	Oracle / Oracle Tools / Perl Soft Directories / Samba	Deprod	Custom	High	No	N/A	See column G.	Data entry from paper; scanned using Application Extender; renewals also received online via e-Gov web portal	Enterprise E-Commerce, REV	Sales Force	L	Chapter 527, Florida Statutes	FDACS-01513 - Dealer in Appliances and Equipment for Use of LP Gas FDACS-01504 - Examination Scheduling Request FDACS-01506 - LP Gas Installer B (D407 - Recreational vehicles) FDACS-01508 - Manufacturer of LP Gas Appliances and Equipment	www.freshfromflorida.com	Inspect for safety compliance. Investigate accidents or incidents involving LP Gas		E, R	Administrative fines for violations found during Inspection.	Yes. E-GOV	LPGAS/ REV	< 16,000	16000	1,419 for all the LP Gas licensing types		0.01-10 days	License number	N/A	N/A	See Document Inventory-Business Process Diagram	See Document Inventory- Data Dictionary
	Bureau of Mediation and Enforcement	Mediation and Enforcement (for all division regulatory programs)	Consumer Services program compliance	DOCS	DOCS	Supports business process for compliance activities	Oracle/Oracle Tools		Custom	High		N/A	Enforcement of regulatory violations and consumer complaint mediation	Paper documents are scanned into database via Kofax Capture application. Online forms and documents are uploaded into database.	REV		N/A	All of the above and 570.544(4)	FDACS-10981 FDACS-01171 FDACS-10000 FDACS-10982 FDACS-10901; Bureau of Compliance Forms	http://myfdacs.dacs.state.fl.us/admin/administrator/forms/view/10000.pdf	N/A		Fees and Penalties	Civil remedies, temporary or permanent injunctions, admin fines, cease & desist orders, revocation or refuse registration, probationary registration. Criminal 2nd & 2nd degree felonies/possible	ROC	REV	N/A	30000	N/A	N/A	N/A		Registration number	N/A	No	See Document Inventory-Operating Procedures	See Document Inventory- Data Dictionary (DOCS)
Florida Forest Service	Forest Protection	Please see FAC 51-2 for those who must obtain an authorization and for information on Certified Burn Manager certifications.	Open Burn Authorizations	Florida Fire Management Information System	FMIS	FMIS includes 7 modules. The basis for all is the Dispatch system, which is used to dispatch firefighters and equipment for wildfire incidents. The Dispatch module also incorporates weather and spatial data for determination of whether open burn authorizations can be issued. Other modules include incident reports, a public Datasheet (realtime mapping of wildfires and DBA), internal Reports, internal Datasheet, Smoke Screening Tool for burn plans, .FMS Application Administration, FMIS Data Entry (Fire Cause, Fire Cost, Fire Weather, Fire Line, Fire Line, DBAR/Air Sugar Cane Burners. See Fire Manual for more indepth description.	Oracle, ESRI SDE, MapOtether, ArcGIS Desktop, .NET Web Forms (C#), Web API, Python, Oracle Connection Manager, C, Microsoft Visual Solutions, Windows, Apache, IIS	http://10.0.0.1:1521/ORCL	Custom	High	119.07	Yes	See Fire Manual	Input comes from telephone calls, radio, and web forms.	DOF Oracle databases, Technical Weather Service, NOAA, USFS. DACS DOA databases, Active Directory, Bing Mapping, FTP, GIS Layers (SHP, GDB, GDT/DOC/DJV/DOA/MAN/SN/TIF/PDF/PNG/JPG/TIFF/MAS/JPG/TIFF/MAS/JPG/TIFF/MAS

Department Organization		Business Function		Regulatory System Profile							Business Process		Information Management			Regulatory Activity					Fees and Revenue Handling				Processing Volume					Business Categorization		System Documentation	
Division / Office	Bureau(s) / Office	Business Program	Business or Professional Categories Regulated by Program	System Name	Acronym	Brief Description of System	Platform / Technology	Location / URL	Custom / COTS	Criticality	Data Confidentiality and Status (if applicable)	Use of bar-coding or QD Used for Addresses (or other)	Brief Description of Business Process	Data Collection Method (Means of Receiving and Managing Information)	Interactions, Dependencies With Other Systems (PSACS, Federal, or other)	Correspondence Tracking	Regulatory Type: Certification-C, License-L, Permit-P, Registration-R, Other-O	Authorizing Statute / Cooperative Agreement	Name and Identifying Number of Required Form(s)	Location /URL of Form(s)	Required Inspections, Reviews, Audits, or Investigations	Fee Type (Flat-F, Renewal-R, Other-O)	Penalty	Public Payment Method	Backend System	Certifications, Licenses, Permit-P Registrations-R, Other-O (Per Fiscal Year)	Total Number of Business Entities Regulated (Per Last Fiscal Year)	Number of New Applications or Requests per Month / Fiscal Year (Past 3 Years)	Number of Cancellations per Month / Fiscal Year (Past 3 Years)	Average Time to Process (Past 3 Years)	Business Identifier Assigned	Standard Industrial Classification (SIC) or North American Industrial Classification System (NAICS)	Existing Functional Requirements Documentation	Existing Business Process Documentation (type and date of currency)	Data Dictionary (if available)
	Bureau of Technical Control; Director's Office	Fruit and Vegetable Inspection and Enforcement	Growers,Handlers,Packers,Shippers of fruit and vegetables	Fruit And Vegetable System	FAVR	Fiscal Module- detailed expenditure information by commodity for financial statements	Oracle / Oracle Tools	TriMatrixEDW\FSS_DPA_Reports\Reports\Pages	Custom	High	N/A	N/A	Fiscal Module- detailed expenditure information by commodity for financial statements	Expenditure information is entered into the Oracle CLAIR. Timesheets received from district offices manually input.	FLAIR	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Unique Identifier.	N/A	No	See Document Inventory-FAVR Business Process Flow	No
	Bureau of Technical Control; Director's Office	Fruit and Vegetable Inspection and Enforcement	Growers,Handlers,Packers,Shippers of fruit and vegetables	Fruit And Vegetable System	FAVR	Inspection & Personnel Module--audit scheduling, inspection data collection, reporting for Inspection Bureau, personnel records and status which assists gathering data for unemployment.	Oracle / Oracle Tools	TriMatrixEDW\FSS_DPA_Reports\Reports\Pages	Custom	High	N/A	N/A	Inspection & Personnel Module--audit scheduling, inspection data collection, reporting for Inspection Bureau, personnel records and status which assists gathering data for unemployment.	Inspection reports received from the field are manually logs are updated as inspectors pass or attain another commodity; personnel data is gathered initially at time of hire and as any actions occur throughout employee's career	PeopleFirst / USDA	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Unique Identifier.	N/A	No	See Document Inventory-FAVR Business Process Flow	No
	Bureau of Technical Control; Director's Office	Fruit and Vegetable Inspection and Enforcement	Growers,Handlers,Packers,Shippers of fresh citrus	Fruit And Vegetable System	FAVR	Statistical Module--daily report data entered to create detailed reports for the Citrus Industry.	Oracle / Oracle Tools	TriMatrixEDW\FSS_DPA_Reports\Reports\Pages	Custom	High	N/A	N/A	Statistical Module--daily report data entered to create detailed reports for the Citrus Industry	Citrus production information is phoned in, faxed or emailed from the grove sites and then manually entered.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Unique Identifier.	N/A	No	See Document Inventory-FAVR Business Process Flow.vsd	No
	Bureau of Technical Control	Fruit and Vegetable Inspection and Enforcement	Processors, Growers, Haulers. (CitraNet makes data from the B&J regulatory system available to the industry, but CitraNet itself performs no regulatory functions)	CitraNet	N/A	Allows growers and haulers to track and view information related their fruit processed at the cannery facilities. The information collected also allows the division to produce reports.	html / asp / Oracle / php	http://www.crop-net.net/	Custom	High	FI statutes 570.48 (1) (http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0500-0599/0570/Sections/0570.48.htm)	N/A	Citrus fruit is inspected in processing plants which purchase the fruit based on the inspection results. CitraNet automates the process of delivering inspection results to the producers of the fruit.	The citrus inspection data is uploaded to the CitraNet system from the division's B&J server.	Division- B&J; FDACS- E-GOV-NV	N/A	R - A registration is required to access the system.	N/A	APPLICATION FOR CITRANET DATABASE ACCESS, DACS-07033	http://forms.freshfromflorida.com/07033.doc	N/A	F - A fee is required to use the system to recoup costs of operation	N/A	E-GOV	Citranet/NV	R - 400 registered entities, each entity may have more than one user account	N/A	400 applications per season, most submitted in July and August	N/A	15 Minutes	Unique Identifier.	N/A	N/A	See Document Inventory-CitraNet Business Process Flow diagram	N/A
	Bureau of Technical Control	Fruit and Vegetable Inspection and Enforcement	Packing Houses	FreshNet	N/A	Allows packing houses to load manifest information through FreshNet to FAVR.	html / asp / Oracle / php	http://www.crop-net.net/	Custom	High	FI statutes 570.48 (1) (http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0500-0599/0570/Sections/0570.48.htm)	N/A	Fresh Citrus Packing Houses are required to submit their manifests electronically to the department through this website.	Information is loaded on the web site via text files. Packing houses can see their manifests in PDF or a data basis.	FAVR - Data resides on FreshNet schema on Oracle database. It is passed to FAVR on a data basis.	N/A	R - A registration is required to access the system. Uses the same registration tables as CitraNet.	Florida Department of Citrus Rules and Marketing Order 905	APPLICATION FOR FRESHNET DATABASE ACCESS, DACS-07120	http://mylabss.doacs.state.fl.us/submission/forms/intro/v07120.doc	Fruit inspections are performed in the packing house on paper certificates; the results are recorded on the shipping manifest. The manifest is then transmitted to the FreshNet system.	N/A	There is a penalty for not electronically transmitting the manifests for packing houses. Penalty is waived if there is a fruit shortage or if a packing house has ever been penalized.	N/A	N/A	R - 39 packing houses have registered for user accounts.	39 Packing Houses	39 Packing Houses per season most submitted in July and August	N/A	15 Minutes	Unique Identifier.	N/A	N/A	See Document Inventory-FreshNet-Create Lead Manifests	N/A
	Bureau of Technical Control	Fruit and Vegetable Inspection and Enforcement	Former Stock Peanut Buying Points	Electronic Quality Inspection Process	EQIP	Data entry application for former stock and peanut inspections.	asp .NET / oracle lite	Installed locally at buying point PC	Custom	High	FI statutes 570.48 (1) (http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0500-0599/0570/Sections/0570.48.htm)	N/A	USDA and Florida former stock peanut inspections on the FV-95 form.	Electronic Form.	Inspection certificates manually loaded into FAVR but no direct interactivity between systems occurs.	N/A	C - Peanut Quality Grading	Cooperative agreement with USDA	FV-95	paper copy on file	Inspection process	F	N/A	ROC for invoices	N/A	N/A	C approx. 27000	27 buying points	1000 requests / buying point	N/A	15 minutes	Buying point number	N/A	Not current	See Document Inventory-Shell and Former Stock Peanuts	Not current
	Bureau of Technical Control	Fruit and Vegetable Inspection and Enforcement	Peanut Processing Plant in Williston, FL	Shell Stock, Microfeldon	N/A	Data entry application shell stock peanut inspections.	SQL Server, Compiled Windows Program (Microfeldon)	Installed locally at 1 peanut shelter in Florida	COTS	High	FI statutes 570.48 (1) (http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0500-0599/0570/Sections/0570.48.htm)	N/A	USDA and Florida shell stock peanut inspections.	Electronic Form.	Inspection certificates manually loaded into FAVR but no direct interactivity between systems occurs.	N/A	D - Peanut Quality Grading	Cooperative agreement with USDA	N/A	paper copy on file	Inspection process	F	N/A	ROC for invoices	N/A	N/A	N/A	1 Peanut Shelling Plant	N/A	N/A	N/A	N/A	N/A	No	See Document Inventory-Shell and Former Stock Peanuts	No
	Bureau of Technical Control	Fruit and Vegetable Inspection and Enforcement	Tomato Industry	Mobile Inspection Program	N/A	*** development ** Mobile inspection application to replace paper inspections forms for tomato quality inspections and food safety audits.	Salesforce platform with Interfaces to FAVR	TBD	Custom / COTS	High	FI statutes 570.48 (1) (http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0500-0599/0570/Sections/0570.48.htm)	TBD	USDA and Florida tomato quality inspections and food safety audits.	Electronic Form.	Inspection certificates manually loaded into FAVR but no direct interactivity between systems occurs.	N/A	C- Tomato quality inspection. F- Tomato food safety audits.	Cooperative agreement with USDA. Florida Tomato Committee rules	See folder food safety. FV-184, FV-930	\Standards\FV-184 FV Shared\FSAFE\FSAF Documents 13-14\	Inspection process / Audit process	F	Possible for food safety failures	ROC for invoices	N/A	Food safety- 300	Food safety- 300, grading ~70	N/A	N/A	N/A	N/A	N/A	No	See Document Inventory- Mobile Inspection Program Business Process Diagram	No
Licensing	L)Bureau of License Issuance (BL) Z)Bureau of Regulation and Enforcement (BRE) S)Bureau of Support Services (BSS)	Database for all demographic and historical data for licensee and agencies. Nightly batch processes are scheduled to update/ load the types of licensure.) Note: The division of licensing depends upon an HR system for employee data and time sheets. This system interacts with the database to provide information regarding the status of licensure.	See Document Inventory- Number of Licenses by Type	Licensing Reflections System	LICS	Stores all the licensing data, including administrative actions, license issuance and renewal/reinstatement. The following licenses are included: private investigative agencies - approx. 2,000 private investigative agencies - approx. 2,255 private investigative agency branch offices - approx. 47 records private investigative agency managers - approx. 80 private investigative agency branch office managers - approx. 497 security officers - approx. 97,882 records security agencies - approx. 984 records security agencies/private invest. Branch offices - approx. 42 records security officer schools - approx.205 records security officer schools branch offices - approx. 4 security officer schools instructors - approx. 913 records statewide firearm licenses - approx. 17,190 records firearms instructors - approx. 922 records recovery agents - approx. 752 records recovers agent branch offices - approx. 4 records recovery agents managers - approx. 289 records recovery agency branch offices - approx. 31 records recovery agency managers - approx. 2 records recovery agent instructors - approx. 13 records concealed weapons/firearms - approx. 152,283 records	Oracle Forms Version 10g (Licensing Servers (Intel Server 2008 R2 and Microsoft SQL 2008 R2 Server servers)	http://www.freshfromflorida.com/Div-Licensing/licensing/Licensing	Custom	High	119.07 493.6122(7) 493.6122 790.0601	N/A	See Document Inventory-Current Business Process Model, v0.1 (Page 12, Business Requirements and Information Technology Feasibility Study)	Documents are scanned, OCR is used to capture pertinent data.	FDLE, Department of Corrections, HSMV	Imaging Business and Process Management (IDAM) See the Document Inventory-Business Requirements and Business Process Improvement Recommendations	L	FS493 s.790.06, FS	See Document Inventory-DOL_Forms List.xlsx	https://licensing.freshfromflorida.com/forms/FormsRequest493.aspx https://licensing.freshfromflorida.com/forms/FormsRequest790.aspx	s.493.6118, FS s.790.06, FS See Document Inventory-High level Description of Licensing Process	See Document Inventory-Fee Schedules 1 and 2	493.6118: Fine, denial of application suspension or revocation of license 790.06: suspension or denial of application suspension or revocation of license	ROC system for all renewal fees and administrative fees	N/A	See Document Inventory-Concealed Weapons and Firearms_Applications and Dispositions and Number of Licenses by Type	See Document Inventory - Number of Licenses by Type	See Document Inventory-New Florida Concealed Weapons License Applications	N/A	45-90 days	DAL License Number or Tracking Number	N/A	See Document Inventory-Business Analysis and Information Technology Review and Upgrade/Replacement Recommendation	See Document Inventory-Business Analysis and Information Technology Review, Upgrade/Replacement Recommendation; Business Requirements and Business Process Improvement Recommendations; Licensing Business Process Flow diagram	See DIO
	L)Bureau of License Issuance (BL) Z)Bureau of Regulation and Enforcement (BRE) S)Bureau of Support Services (BSS)	L)BL/ -reviews applications and supporting documents for licensure/permits Z)BRE/ -R-regional offices provide application intake service for both statutory licensing/permitting/registration, compliance and complaint investigations for FS493 D)BSS/ -provides support functions for the Division (IT, fiscal, mailroom) E)Compliance/ -provides legal services for the Division	See Document Inventory- Number of Licenses by Type	Imaging Business and Process Management (IDAM)	IDAM	(NOTE: Licensing Electronic Document Management System (LEDMS) is part of the IDAM workflow system. It is connected to the Licensing Database by third party middleware software. Other systems connected to IDAM: Concealed Tracking Manager or Administrative Action Manager.	Oracle Forms Version 10g (Licensing Servers (Intel Server 2008 R2 and Microsoft SQL 2008 R2 Server servers)	http://www.freshfromflorida.com/Div-Licensing/licensing/Licensing	Custom and COTS	Medium	119.07 493.6122(7) 493.6122 790.0601	N/A	This system is where document images are stored and managed. Workflow automates the process. See the Document Inventory-Current Business Process Model, v0.1 (Page 12, Business Requirements and Information Technology Feasibility Study)	Documents are scanned, OCR is used to capture pertinent data.	FDLE, Department of Corrections, HSMV	The document management and workflow system. It is connected to the Licensing Database by third party middle-ware called License Integration Manager (LIM). Other: LIM, Concealed Tracking Manager or Administrative Action Manager. Also serves this function for the Web-based Fast Track system.	L	FS493 s.790.06, FS	See Document Inventory-DOL_Forms List.xlsx	https://licensing.freshfromflorida.com/forms/FormsRequest493.aspx https://licensing.freshfromflorida.com/forms/FormsRequest790.aspx	s.493.6118, FS s.790.06, FS See Document Inventory-High level Description of Licensing Process	See Document Inventory-Fee Schedules 1 and 2	493.6118: Fine, denial of application suspension or revocation of license 790.06: suspension or denial of application suspension or revocation of license	Revenue Online Collection system for all renewal fees and administrative fees.	N/A	See Document Inventory-Concealed Weapons and Firearms_Applications and Dispositions and Number of Licenses by Type	See Document Inventory - Number of Licenses by Type	See Document Inventory-New Florida Concealed Weapons License Applications	N/A	45-90 days	DAL License Number, Tracking Number, BRE Case number, Action number, Legal Case number	N/A	See Document Inventory-Business Analysis and Information Technology Review and Upgrade/Replacement Recommendation	See Document Inventory-Business Analysis and Information Technology Review, Upgrade/Replacement Recommendation; Business Requirements and Business Process Improvement Recommendations; Licensing Business Process Flow diagram	Data dictionary for IBPM not available. Data dictionary for Concealed Weapon/ License Manager, License Manager, Concealed Weapon Administrative Action Manager and Concealed Tracking Manager) applications. Evelyn to send.
	Bureau of License Issuance Bureau of Regulation and Enforcement	Concealed Weapons permitting	Concealed weapons permitting	Web-based Fast Track	WBFT	Web-based application that displays a web form version of the concealed weapons (CW) application. Data validation is accomplished via the web form and the information is submitted to the database. It captures the applicant's information in web format via the web form. The end file is electronically transferred for processing. In addition, this system allows the applicant to scan in supporting documentation and the scanned documents are electronically transferred for processing. The system interfaces with the department's "generic" checkout, credit card and e-check payment system. The license applicant is able to pay the CW license fees by credit card or a check after the application has been submitted. The applicant is then prefer to pay by check or money order can mail either	Virtual Servers (VMWare, SQL 2008 R2	WBFT = http://phfdacwbfw.mfd\CwWFappln/login.aspx	Custom	High	119.07 493.6122(7) 493.6122 790.0601	N/A	Applicant completes form and electronically signs application, scans in supporting documentation, submits application to Fast Track for processing. Completed application is review by DOL agent and electronically notarized. Submitted to IPRM. Bureau of Licensing Issuance reviews application, supporting documentation and processes payment. If application is issued or denied. If issued license package is submitted to be printed and mailed. No paper is submitted to DOL	Web form, Scan, XML file.	FDLE	N/A	\	s.790.06, FS	See Document Inventory-DOL_Forms List.xlsx	N/A	N/A	F	N/A	E-Gov Generic Checkout	N/A	See above	See above	see above	N/A	45 - 90 days	Tracking Number	N/A	See Document Inventory-Web-based Fast Track Design Document (Includes business process diagrams)	See Document Inventory-Web-based Fast Track Design Document (Includes business process diagrams)	See DIO
	Bureau of License Issuance Bureau of Regulation and Enforcement	Concealed Weapons	Concealed weapons permitting Dax collector office kiosks)	Concealed Weapons License System	CWLS	This system is the application that will allow selected Florida County Tax Collectors offices to intake concealed weapons applications.	Virtual Servers (VMWare, SQL 2008 R2 Server	CWLS = http://CHDOLCWLSWeb01/Law/Cap/Licensings.aspx	Custom	High	>700.06	No	As a Client workstation an applicant will complete an application electronically sign and upload required documentation. The application is submitted to the Tax Collector to be fingerprinted via a live scan station, have their photo taken and the application will be electronically notarized. All data will be transmitted securely to the Department of Law Enforcement (Oracle Database and Oracle JPM/Licensing imaging system). Application will be processed by Bureau of License Issuance.	Web form, Scan and XML	FDACS Servers TLYDOLCWFS01 and TLYDOLCWFSWEB01, FDLE	N/A	\	SB544 - Statute 790 and Signed MOU with each participating Tax Collector	N/A	N/A	Annual inventory of hardware assigned to Tax Collector office.	F	N/A	Tax collectors will use Grant Street to process payment. Division will invoice each office weekly.	N/A	N/A	N/A	N/A	N/A	N/A	Division will release documentation when application is completed	Division will release documentation when application is completed	Division will release documentation when application is completed
Marketing and Development	Bureau of Agricultural Dealer's Licenses	Agricultural Dealer's Licenses	1. Florida Agricultural Producers' 2. Agricultural Dealers (*Not regulated but a fee is collected when a claim is filed.)	License and Bond System	LBL	Licensing and bonding of agricultural products dealers; tracks bonding company, amount of bond, licensing fees, and company data; prints licenses and renewals. Reports that show all dealers of a specific product. Tracks claims that are filed by FL agricultural producers as well as any enforcement actions against a dealer.	Oracle / Oracle Tools / .NET	https://apps6b.fdacs.gov/BusinessLicenseSearch/	Custom	High	1. No, 2. No	Geo-coding is used.	See column G.	1. Manual entry. There are no documents scanned into the system, 2. Manual entry. There are no documents scanned into the system.	1. The system interacts with the Internet where the user conducts a search for licensed dealers that have a claim filed against their bond. 2. It interacts with the Internet when the user conducts a search for licensed dealers.	1. Correspondence is kept in paper form. No imaging system is used. 2. Correspondence is kept in paper form. No imaging system is used.	1. Fee, 2. L	1. 604.317-F.S., 2. 604.15-604.34 F.S.	1. FDACS-00539 - Agricultural Products Dealer Claim Packet, 2. FDACS-09202 - Application for Agricultural Products Dealer License, FDACS-06303 - Application for Products Dealer Bond, FDACS-06307 - Statement of Exemption, FDACS-06302 - Assignment of Certificate of Deposit	1. http://forms.freshfromflorida.com/06539.pdf, 2. http://forms.freshfromflorida.com/09202.pdf, http://forms.freshfromflorida.com/06303.pdf, http://forms.freshfromflorida.com/06307.pdf, http://forms.freshfromflorida.com/06302.pdf	1.Investigation 2.Audit/Investigation	1. , 2. , 3. R	1. No penalty for the producer that files, but there may be a penalty for the agricultural dealer if they do not have a bond. 2. No penalty for the dealer may be imposed a penalty for not renewing prior to their license expiration. Dealers may be imposed a penalty for not reporting a transaction or not obtaining a bond in the proper amount after an audit/investigation occurs.	1. None, 2. None	No, the payment is voluntary. If they do not pay their taxes are not registered.	All payments can be made via ROC.	N/A	1. Fee PY10/11 -291, PY11/12 -114, PY12/13 -75, 2. FY10/11 -1,3289, FY11/12 -1,1314, FY12/13 -1,066, there may be additional transactions when no license is actually printed but data is not tracked.	1. N/A, 2. PY12/13 -2,148 entities licensed. There may be other entities licensed but not regulated and operating under an exemption. Data is not tracked.	1. 12/month, 5/Mo/year, 2. Not tracked	1. Not tracked, 2. Not tracked	1. 3 days, 2. 1 week	1. Department of State, Sunbiz.org if applicable, if not, then individual name is used, FEID is also used in conjunction with above if they have one. 2. Department of State, Sunbiz.org if applicable, if not, then individual name is used, FEID is also used in conjunction with above if they have one.	1. None, 2. None	1. No, 2. No	See Document Inventory – LBL License and Bond Law Amendments Business Requirements Traceability Matrix -v1.0 and note that these requirements describe their vision for an improved system)	See Document Inventory for three sets of process diagrams Audits Investigations (N-%); Claims (N-%); Enforcement (N-%)	1. No, 2. No
Plant Industry	Bureau of Citrus Budwood Registration	IC Compliance- provides legal services for the Division	Citrus Propagators	Citrus Budwood Database (Note that this division has a separate IT fund to maintain the Citrus Budwood system this year)	Budwood	The Citrus Budwood Database is a set of interconnected Access databases that manage the Citrus Budwood Registration process: identification, Tracks "F1-2010 identification validation tests and results. Annual registration certificates issues / nonparticipating - Lists the Budwood Origin source, number of years cut, DPI# source, location of budwood, Tracks budwood that has been introduced to the state must be pathogen tested and registered with the department.	Access	Fruit and Vegetable data system - Winter Haven	Custom	Medium	Nurseries generally prefer not to disclose the number of trees they have in production. Do not publish these figures. To date we have never had a records request for these numbers, however this information is not protected by statute.	Yes - we use data on GIS maps and in ArcGIS Map services.	The scion database is queried in December for a current list of registered trees. Send a spreadsheet to the Citrus Budwood Lab to scion trees for 1(1). Invoice are printed directly from the database with a unique participant number. Once prepayments are received the registration certificate is printed and the budwood shipment is mailed to customer. Reference Citrus Nursery Stock Certification Manual.	Information is entered from an inspector witnessed Scion Tree Inspection Form. Data is entered by each individual in manually entered into data table along with participant number. Once prepayments are received the registration certificate is printed and the budwood shipment is mailed to customer. Reference Citrus Nursery Stock Certification Manual.	DPI State system - Documents are pre-imaged into EDI and EDI for workflow and document management. Links to GDA for address Validation/lookup of firms. Links to Quickbooks for applications based on call Scion data. - ROC payments are reconciled into PTR based on reports from ROC.	Important paper docs are entered into EDI for access by Plant Inspection staff statewide.	Certificate of Source Tree Registration – C, R	Section 581.031 (1a), F.S. / Rule 58-62, F.A.C.	CERTIFICATE OF SOURCE TREE REGISTRATION -FDACS-09872, ORCHARD REGISTRATION -FDACS-09871, BUDWOOD AGREEMENT -FDACS-09872, SOURCE TREE BUD CUTTING REPORT -FDACS-08172	Note that forms can only be filled out by bureau employees. http://forms.freshfromflorida.com/09872.pdf, http://forms.freshfromflorida.com/09871.pdf, http://forms.freshfromflorida.com/09872.pdf, http://forms.freshfromflorida.com/08172.pdf	The initial establishment of a scion tree requires the witnessing by a DPI inspector of the budwood being harvested. Other documents are printed and maintained in a file for the inspector to take out into the field.	Fee	No, the payment is voluntary. If they do not pay their trees are not registered.	All payments can be made via ROC.	N/A	31 certificates were processed in the last fiscal year. 31 entities were registered – R,-R,R,R.	Total 48 of which only 31 registered source trees. Nurseries with scion trees are mandatory.	Six total new participants made application in the past 3 years. Average number of participants per year. Average number of trees witnessed per year 1,555 or 130 per month.	Nurseries occasionally go out of business but generally there are no more than one or two participants in a given year. Source trees are removed or added throughout the year having more or less than 1,555 trees. We do not focus on who is not propagating or on participants who have active nurseries and total number of source trees at any given time. Even though the numbers of registered sources	N/A	Once the payment is received and processed the printing of the budwood certificate is done within 5 minutes. On average the whole process turnaround is 24 hours.	N/A	N/A	N/A	Not available	See Document Inventory-DPI-Citrus Nursery Stock Certification Manual 3-10-14.pdf; DPI-2012 Budwood Annual Report.pdf	See Document Inventory-Budwood Data Tables for Annual Report Process prepared by Budwood.
	Bureau of Citrus Budwood Registration	Citrus Germplasm Introduction Program (CGIP)	Interested parties desiring to introduce new citrus varieties into FL	Citrus Germplasm Introduction Program	CGIP	Tracks all actions involved in the requesting of introduction of new citrus plant material from any sources outside of FL (foreign and domestic). All non-FL citrus source material must be acquired, tested and approved by CBR. CBR becomes the source to industry/academia for the new citrus material.	Oracle 10g	Server location listed in Invotas	Custom	Low	N/A	Yes - we use data on GIS maps and in ArcGIS Map services.	Process of Application to CBR - Approval to CBR to Investigate - Acquisition of Plant Material - Testing Biological and laboratory of plant material for "cleanliness" from pests and pathogens - Quarantine - Treatment of plant material to remove pathogens of interest/concern - Approval to release plant material to CBR facility or requestor - Release citrus material	Complete paper forms in the lab and enter into CGIP. Future: maybe use tablets in Greenhouses for recording observations when working with the plants	Interacts with other DPI systems: Citrus Budwood, LIST/PPST	Correspondence and approval for submission to FL will be captured in IS3 in the future.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	See Document Inventory-GDP Security Plan; functional specifications are being developed	See Document Inventory-CGIP Project Proposal and Project Charter	CGIP systems documentation is still under development/testing
	Bureau of Plant and Apiary Inspection	Plant Inspection, Apiary Inspection, Cartilly Protocol	Nurseries, Stock Dealers, Beekeepers, Citrus Growers, Packing Houses and Exporters (Protocol)	Plant Inspection Trust Revenue System	PITR	Tracks registrations and inspections of nurseries, stock dealers, bee keepers and all groups involved in export of citrus under the Cartilly Program. In addition, it tracks service delivered such as phytosanitary inspections; correspondence (compliance agreements) with Plant Inspection Bureau, processes nurseries, stock dealers, homeowners, and bee keepers; generates invoices and ages invoices for collection purposes; processes ACH payments; allocates, and reconciliation of funds received; serves as revenue tracking for DPI. Also tracks imported fire ant activities (inspections and certifications); apiary registration and certification, nematode compliance agreements; Plant Inspection Bureau's Compliance Fruit fly program. Tracks inspector hours, activities and mileage. Annual and special inspections, quarantines, certificates to registered nurseries, stock dealers, homeowners for plant sales or movement out of state. Also tracks Cartilly Certificates, Seminars, repeat issues to consumers, businesses, and international ports of entry.	Oracle / PL/SQL	Server location listed in Invotas	Custom	High	None	Yes - we use data on GIS maps and in ArcGIS Map services.	Plant Inspection Manual - http://apiary001/Website/PlantInspection/index.html	Paper forms are completed at the job site, data entered into the Database back at the office. Any critical paperwork sent to Gainesville Headquarters for further processing or filing.	DPI State system - PPIT for lab sample submissions. Documents are imaged into EDI, future View links between PTR and EDI for viewing documents. Future: Links to GDA for address Validation/lookup of firms. Links to Quickbooks for applications based on call Scion data. - ROC payments are reconciled into PTR based on reports from ROC.	Important paper docs are entered into EDI for access by Plant Inspection staff statewide.	Certificates, Permits and Registrations-types	Laws and Regulations, FL Statutes Chapter(s): 570.32, 581, 586, 593.75, Administrative Code and Register: Chapter(s): 5B	Application for Certification of Registration, FDACS-08004 - Over 10 other forms used , referenced in the Plant Inspection manual.	http://mylabss.doacs.state.fl.us/administration/directory_office/forms_search/	At a minimum, annual inspections conducted on registered entities . Audits vary from monthly to annually. Investigations as deemed necessary.	Yes, F, R and O - Payments can be made thru ROC for invoices sent out	Administrative fines and late fees can be applied if warranted.	All payments can be made via Revenue Online Collection for Administrative fees, Beekeeping Renewal, Cartilly Protocol Invoice, Citrus Budwood Invoice, Fire Ant Quarantine Invoice, Special Inspection Invoice, Stock Dealer Renewal Invoice	N/A	C - 14,865, I - 0, P - 82, R - 19,180. More stats in Annual Reports (file: DPI-Annual_Report_Bureau_of_Plant-_Apiary_Inspection_2012-2013.pdf)	Nursery - 7188 - Stockdealers - 2984 - Beekeepers - 3138 - Protocol Certified Entities - 50 - More stats in Annual Reports (file: DPI-Annual_Report_Bureau_of_Plant-_Apiary_Inspection_2012-2013.pdf)	Nursery – 36 – Stockdealers – 21 - Beekeepers – 162 – Protocol Certified Entities are completed annually with a new a year. More stats in Annual Report (file: DPI-Annual_Report_Bureau_of_Plant-_Apiary_Inspection_2012-2013.pdf)	N/A	Consider this those that go out of business Nursery – 62 – Stockdealers – 13 – Beekeepers – 25 – Protocol Certified Entities – 0 – More stats in Annual Report (file: DPI-Annual_Report_Bureau_of_Plant-_Apiary_Inspection_2012-2013.pdf)	N/A	Many steps, see Plant Inspection Training manual. Reference the link to User Plant Inspection Manual - http://apiary001/Website/PlantInspection/index.html	N/A	N/A	N/A	Registration Number, Permit Number, Certificate number, FL numbers, etc	N/A	Yes - ERD, DD, Program Code and User Plant Inspection Manual - http://apiary001/Website/PlantInspection/index.html	Not available	See Document Inventory - DPI-PITR Data Dictionary.zip
	Bureau of Pest Eradication and Control (PE&C)	CHNP - Citrus Health Response Program	Commercial Citrus trees and fruit, Residential Properties w/citrus	Pest Incident Control System	PICS	PICS Commercial (PICS-C) system functions and associated data are designed to support the efforts of the department in finding and eradicating Asian citrus canker in commercial citrus groves in Florida. Commercial citrus groves are surveyed on a recurring basis with the results of those surveys being captured in PICS-C. Any positive finds and any resulting control actions are also recorded in PICS-C. Data from the old citrus grove survey is included in this system. PICS-C is a GIS based system. Reference associated data are designed to support the efforts of the department in finding and eradicating Asian citrus canker in residential properties. PICS-R is a GIS based system populated with property owner data derived from county property appraisers' offices and other sources. Resources are then assigned to survey the properties on a recurring basis. Properties with positive results are placed into a "quarantine" condition are identified for a follow up inspection by plant pathologists. Upon confirmation of infection, all citrus-bearing properties within a defined area surrounding the positive property are scheduled for a mapping of the infected trees and a survey. Trees are identified for which legal notices are needed (PED), and then eradication (control) actions are undertaken. All data associated with survey, survey/mapping, IRL and control actions are recorded in PICS-R. PICS-R also provides the ability to track and monitor the spread of the disease within and without the	Oracle / PL/SQL	Server location listed in Invotas	Custom	High	Some data such as Grove details are considered Trade Secrets and unable to share. Tree counts, variety, etc. Acreage and ownership info is public record.	GIS	Reference PE&C Workflow Process Maps for: Abandoned Grove Process; Disposal Site (Permitting) Process; Harvesting Permit Process, per attached file (file: DPI-PICS-Harvesting Permit Process.docx) Reference the attached document for PICS Business Process info (file: DPI-PICS-Business Functions.docx)	Reference PE&C Workflow Process Maps for: Abandoned Grove Process; Disposal Site (permitting) Process; Harvesting Permit Process, per attached file (file: DPI-PICS-WORK FLOW CHARTS.RARE.pdf) For PICS activities, paper forms are completed in the field and then transcribed into the database back at the office. Data is then entered into the database back at the office. Any critical paperwork sent to the local office and may have a copy sent to WPB Headquarters or Gval DPI Headquarters for further processing or filing.	Interact with USDA through PICS	Important paper docs are entered into IS3 for access by CHNP staff statewide.	P - Harvesting Permits and Certification of Voluntary Destruction of Trees C - Abandoned Grove Inclusion	CHNP Cooperative Agreement # 14-2021-0517-CA, HP Section 581.1011(1) Cert. Section 581.1011(7) F.S. Cert. Section 581.184 F.S.	Citrus Fruit Harvesting Permit FDACS-08123, Citrus Waste Disposal Site Permit FDACS-08124, Abandoned Grove Survey Verification of Voluntary Destruction of Trees Form FDACS-08465, Stop Sale Notice & Hold Order FDACS-08016	http://mylabss.doacs.state.fl.us/administration/directory_office/forms_search/	Yes, please reference PE&C Workflow Process Maps for: Abandoned Grove Process; Disposal Site (Permitting) Process; Harvesting Permit Process, per attached file (file: DPI-PICS-WORK FLOW CHARTS.RARE.pdf). Also reference the CHNP training manual.	N/A	N/A	Penalties are not assessed. Stop Sale Notice & Hold Order may be issued if necessary as authorized by Section 581.031(20)	N/A	N/A	FY 2012/2013 - 3,847 Harvesting Permits issued, 1 Disposal Site Permits issued, Abandoned Grove Verifications processed, Voluntary Destruction of Trees - 31	Commercial Citrus grows in acres - 524,640 AC, Number of Residential properties in 49 FL counties can be accessed in PICS	N/A	N/A	48 Hours - Reference processes in PE&C Workflow Process Maps for: Abandoned Grove Process; Disposal Site (Permitting) Process; Harvesting Permit Process, per attached file (file: DPI-PICS WORK FLOW CHARTS.RARE.pdf). Many steps, see CHNP Training manual.	N/A	N/A	Commercial citrus: MB_ID, Residential properties: Parcel Number	N/A	See Document Inventory-High level business functions are outlined in Pre-Harvest Manual (files: DPI-PICS Business Functions.docx and DPI-PICS PRE-HARVEST Manual-w-Redd_25_2009.pdf)	See Document Inventory- DPI-PICS_ERD_05062010.pdf)	
	Bureau of Entomology, Nematology, Plant Pathology (and Botany) Specimen Mail Id identification	DPI Labs for pest and disease detection	Nurseries, Stock Dealers, Beekeepers, Citrus Growers, Packing Houses, Exporters (Protocol), general public	Laboratory Identification Sample Tracking system Plant Pathology Specimen Tracking system (to be replaced by LIST)	LIST (and PPST)	*** development ** Tracks all samples collected by any program area of the division that is submitted to any of the diagnostic/pest identification groups of the division. Tracks the results of the diagnostic/pest id(s). Communicate the finding(s) back to all persons involved with the sample and anyone with "concern" regarding some "critical" identifications/diagnoses. It is these groups who actual may take Regulatory Action, not IBMP.	Oracle / PL/SQL	Server location listed in Invotas	Custom	Medium	N/A	Yes - we use data on GIS maps and in ArcGIS Map services.	Search/Display/Input/Update/Void Sample data (including a link to receive Sample data from apps supporting Sample Collection groups) - Search/Display/Input/Update/Report/Void Identifications/Diagnosis data - Search/Display/Input/Update/Delete Hosts, Pests, Pathogens/Disease, Nematode, Plant Pathogen Collections - Search/Display/Input/Update/Delete Specimen Collection/Sample data for Plants, Arthropods, Nematodes, Plant Pathogens - Maintain "Regulated Species List" (i.e., Endangered Species, Noxious Weeds)	Paper forms are completed at the job site, data entered into the database back at the office. Any critical paperwork sent to Gainesville Headquarters for further processing or filing.	Interacts with other DPI systems: PICS, PITR, EDI#, IFIS, Reports of Lab results sent to Inspectors in the field via SMS or industry via email on the Specimen Report Form FDACS-08400.	N/A	N/A	State/Federal program with interstate movements require DPI to regulate interstate movement.	FDACS-08400	http://mylabss.doacs.state.fl.us/administration/directory_office/forms_search/	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	See Document Inventory – LIST DIO	See Document Inventory –

FDACS Regulatory Program Business Processes (Manual Processes)

Department Organization		Business Function			Data Collection and Forms				Regulatory Activity			Fee and Revenue Handling			Processing volume					Business Categorization		Data Confidentiality	Business Process Documentation
Division / Office	Bureau(s)	Business Program	Business or Professional Categories Regulated by the Program Area	Brief Description of Business Process	Data Collection Method (Means of Receiving and Managing Information)	Name and Identifying Number of Required Form(s)	Location of Form(s)	Correspondence Tracking Method	Regulatory Type Certification--C License--L Permit--P	Regulatory Authority -- Cooperative Agreement or Statute	Required Inspections, Reviews, Audits, or Investigations	e-Commerce Component	Payment Type Fee--F Renewal--R	Penalty	Number of Certifications--C Licenses--L Permit--P Registrations--R (Per	Total Number of Business Entities Regulated Per Past Fiscal Year	# New Applications per Month / Fiscal Year (Past 3 Years)	# Cancellations per Month / Fiscal Year (past 3 Years)	Average Time to Process (Past 3 Years)	Business Identifier Assigned	Business Entity Categorization: SIC (Standard Industrial Classification) or NAICS (North American Industrial Classification System)	Data Confidentiality (Is data confidential?)	Existing Business Process Documentation
Agricultural Environmental Services	Bureau of Agricultural Environmental Laboratories	Feed	Certified Feed Laboratories	Certified laboratories apply for or renew annual certifications to receive and analyze regulatory feed samples in support of Chapter 580, F.S. Any laboratory wanting to be certified by the department in any of the testing categories must complete and return an application with a $100 application fee and a $300 fee for each of the desired certifications. The department shall mail a certificate for each certification granted to the laboratory to signify that administrative requirements have been met.	Requests are received through the mail or email and the information is stored in an EXCEL spreadsheet and files.	FDACS-13401	http://myfdacs.doacs.state.fl.us/administration/forms/intranet/13401.pdf	EXCEL spreadsheet-information is manually entered into spreadsheet by BAEL staff.	C	Chapter 580 F.S. and 5E-3 FAC	laboratories are certified to receive and analyze regulatory feed samples; certified laboratories may be audited by the Department	Fees can be paid using Revenue Online Collection or by check	F and R	Any renewal received after the expiration date on the certificate shall be accompanied by a $50 late charge. Any renewal received 30 days or more beyond the expiration date on the certificate shall be returned to the laboratory, and the laboratory shall apply to the department as if it were the initial application for certification.	5 C	5	0	0	6 weeks	Company Name	N/A	no	no
	Bureau of Entomology and Pest Control	Mosquito Control	Mosquito Control Districts		Electronically through handheld/electronic devices	13650; 13652; 13663; 13666	13650; 13652; 13663; 13666	All correspondence is filed alphabetically by Mosquito District name	O - Mosquito recordkeeping	Ch 388	Annual program fiscal financial audits	http://www.freshfromflorida.com/Divisions-Offices/Agricultural-Environmental-Services/Business-Services/Mosquito-Control/Become-a-State-Approved-Mosquito-Control-Program	NO	Subject to loss of Waste Tire Fund allocation	O - 65 Mosquito District	65	65	0	Estimated that it takes District 2 hours per month to compile and complete forms (submitted monthly). Takes Staff 1.5 weeks to compile all data from all districts	Name assigned by Program Manager	N/A	Not available	See Document Inventory
	BEPC	Pest Control	Pest Control	BEPC Case File Tracking	Electronic case files manually reviewed and data input into spreadsheet	Forms mandated by Administration and Legal Counsel office	Forms located in Forms_enf_2014 folder	Date stamping upon receipt; reviewing spreadsheet	L; C	CH 482, F.S.; CH 388, F.S.; CH 5E-14, F.A.C.; CH 5E-13, F.A.C.	Interfaces with AGENCY CLERK's office	Finance & Accounting ROC system		YES - Administrative Fine	4,245 companies; employing 29,970 persons and approx 12,500 limited certificate holders	FY10/11 - 3684 FY11/12 - 3483 FY12/13 - 3449	FY10/11 - 41/mo FY11/12 - 31.5/mo FY12/13 - 47/mo (Actions Taken)	FY10/11 - 5/mo FY11/12 - 3/mo FY12/13 - 4/mo (Dismissals)	Varies Considerably - if no action taken - 2.5 hrs; if action taken - 60 to 90 days (mandatory 21 day response period)	Issued against the Credential number assigned by Bureau; if no credential - than directly to corporations or individual by name - Each case file assigned a unique case file number by Bureau AND Agency Clerk's office	N/A	While administrative action is in process, data is restricted. Upon completion of action, all records become public	YES - Enforcement SOP manual in BEPC SOP folder
Animal Industry		USDA Disease Free Certificate (Horse and Swine)																						
Consumer Services	Bureau of Standards	Administrative Processes	N/A	All administrative tasks required to support the bureau's regulatory portfolio	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Yes - Process diagram
Fruit and Vegetables	Bureau of Technical Control; Director's Office	Fruit and Vegetable Inspection and Enforcement	Growers/handlers/packers/shippers of tomatoes	Applicant completes appropriate form to become or maintain registration or permit	Applicant has to apply/renew a registration/permit using an application form.	DACS-07151 (05/11) DACS-07155 (12/10)	http://myfdacs.doacs.state.fl.us/administration/forms/intranet/07155.pdf http://myfdacs.doa		P / R	5G-6, F.A.C	T-GAP audit are required annually	ROC	$100.00 annually - R		229		20/month; 200/year	0/month; 2/year	1.5 Hours	Unique Identifier	N/A		
	Bureau of Technical Control; Director's Office	Fruit and Vegetable Inspection and Enforcement	Packers of citrus required to use extractor, others may elect to use for testing	Division sub-leases extraction equipment to applicant (Fruit and Vegetable 2700 (Brown)Extractor Lease); previous applicants automatically assigned, new applicants request extractor by email or letter.	Letter or email for new applicants, sub-leases entered into and maintained in AIMS; manual invoice billing; Remedy tracks current users, deliveries and pickups	State Test Extractor Sub-Lease Manual Invoice DACS-07066	http://myfdacs.doacs.state.fl.us/administration/forms/intranet/07066.pdf		O	601.10(1),(7) FS 601.24 FS	Must meet test room requirements and installation specifications	N/A	F - $2151.00 / yr	N/A	75	68	0/1	0/2	1 Hour	Unique Identifier	N/A	N/A	no
	Bureau of Technical Control; Director's Office	Fruit and Vegetable Inspection and Enforcement	Processors of citrus required to use extractor, others may elect to use for testing	Division sub-leases extraction equipment to applicant (Fruit and Vegetable 0918 (JBT) Extractor Lease); previous applicants automatically assigned, new applicants request extractor by email or letter.	Letter or email for new applicants, sub-leases entered into and maintained in AIMS; manual invoice billing; Remedy tracks current users, deliveries and pickups	State Test Extractor Sub-Lease Manual Invoice DACS-07066	http://myfdacs.doacs.state.fl.us/administration/forms/intranet/07066.pdf		O	601.10(1),(7) FS 601.24 FS	Must meet test room requirements and installation specifications	N/A	F - $18,876.00 / yr	N/A	22	17	0/0	0/1	1 Hour	Unique Identifier	N/A	N/A	no
Marketing and Development	State Markets	County Fairs	Fair associations chartered under 616 F.S.	Annual Fair Permit	Hardcopy by mail	Fair Permit 06100	Web site	52 P	P	616 F.S.	F	N/A	N	N/A	52	52	0	1	N/A	N/A	N	N/A	No
		Farm Winery Program	Florida Farm Wineries	Wineries apply to FDACS for certification	FDACS communicates with industry by email and phone; wineries mail in the	Application for Florida Farm Winery Certification; FDACS	FDACS intranet; FDACS website		C	FS 599.004	No	N/A	F & R	No	C - 1 to 2	currently there are 24 certified farm	1 to 2 per year	0	range is too wide to express	N/A	N/A	No	No

Summary of Major Categories (Applications)																	
		System Interactions / Dependencies							Regulatory Type					Compliance Type			
Division	Application Name	Fingerprints	RRAS (REV)	Public Payment Portal	Other FDACS System(s)	Other State System(s)	National / Federal System	Document Imaging System	License	Permit	Registration	Certifications	Other (Filing, etc.)	Inspections	Audits	Reviews	Investigations
Administration																	
Agricultural Environmental Services	AES Laboratory Information Management System (AES-LIMS)		x	x					x		x						
	Agricultural Environmental Services Suntrack System		x	x				x	x			x					
	Agricultural Environmental Services Suntrack System		x	x				x						x			
	DOI Database								x		x	x		x			x
	Aircraft Registration Database										x			x			
	Compliance DB30 Database			x	x									x			x
	EIS - AES Image Applications				x												
	Electronic Fumigation Notice Submissions			x	x					x				x			
	Pesticide Applicator Continuing Education Units			x	x					x					x		
	Registration Tracking System		x	x	x		x				x				x	x	
Agricultural Law Enforcement	ACISS Case Management					x		x					x		x		x
	Bill Of Lading Scanning System			?	x								x				
	Commerce Transport Imaging System				x								x		x		
	Tag Recognition System												x				
Agriculture Water Policy	Best Management Practices Tracking System (BMPTS; voluntary participation)												x				
Animal Industry	Animal Industry Florida Poultry Database										x			x			
	Animal Industry Laboratory Information Management System																
	Daily Activity Report															x	
	Garbage Feeders Database			x			x			x				x			
	Master Brand Record			x							x					x	
	Master Cervidae Herd Plan/Permits										x			x			
	Master Equine Extension			x						x							
Aquaculture	Aquacore Information System			x								x		x			
	Aquaculture Certification Program			x										x			
	Aquaculture Lease Database			x									x		x	x	
	Apalachicola Bay Oyster Harvesting License			x					x							x	
	Shellfish Shippers Database											x		x			
Consumer Services	LIMS--Anti-freeze and Brake fluid			x	x						x						
	Metrology (metered devices)			x													
	DOCS--Business Opportunities Franchises		x	x				x					x				
	DOCS--Continuing Education Provider		x	x				x	x								
	DOCS--Do Not Call List		x	x				x					x				
	DOCS--Game Promotion		x	x				x					x				
	DOCS--Health Studios		x	x				x	x		x						
	DOCS-Intrastate Movers		x	x				x	x		x						
	DOCS--Mediation and Enforcement		x	x				x									
	DOCS (and Access)--Meter Mechanics				x						x						
	DOCS--Motor Vehicle Repair		x	x				x	x		x						
	DOCS--Pawnshops	x	x	x				x	x		x						
	DOCS--Petroleum (wholesale and retail)				x								x	x			
	DOCS--Professional Surveyors and Mappers		x	x				x	x								
	DOCS--Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail)		x	x							x			x			
	DOCS--Sellers of Travel		x	x				x	x		x						
	DOCS-Solicitation of Contributions		x	x				x					x				
	DOCS--Telemarketing		x	x				x	x		x						
	DOCS--Weights and Measure Permitting System (permitting)		x	x						x							
	Fair Ride Database			x						x				x			
	LP Gas		x	x				x	x					x			
Florida Forest Service	Florida Fire Management Information System				x	x	x					x	x			x	
Food Safety	Document Control and Training Tracking																
	Food Inspection Management System (FIMS)		x	x						x		x		x		x	
	Food Safety Laboratory Information Management (FSLIMS)				x									x			
	Regulatory Information Management System (Dairy)			x					x					x			
Fruit and Vegetables	Brix Acid Unit System											x		x			
	CitraNet			x	x						x						
	EQIP			x								x		x			
	FreshNet				x						x			x			
	Fruit and Vegetable System--Processors, Growers, Haulers			x	x								x			x	
	Fruit and Vegetable System--Citrus Dealers			x	x				x							x	
	Fruit and Vegetables System--Growers, handlers, packers, shippers			x	x										x		
	Fruit and Vegetables--Growers, handlers, packers, shippers (Accounts receivable)			x	x												
	Fruit and Vegetables-- Growers, handlers, packers, shippers (Fiscal)					x											
	Fruit and Vegetables--Growers, handlers, packers, shippers (Inspection and personnel)					x	x										
	Fruit and Vegetables--Growers, handlers, packers, shippers of fresh citrus (Statistics)																
	Mobile Inspection Program (Tomatoes)			x						x		x		x	x		
	Shell Stock, MicroMation (Peanuts)			x									x	x			
Licensing	Concealed Weapons Information System (beta)	x							x								x
	Licensing Reflections System	x		x		x		x	x								x
	Imaging Business and Process Management (EDMS)				x	x			x								x
	Web-based Fast Track System			x					x								x
Marketing and Development	License and Bond System								x						x		x
Plant Industry	Citrus Budwood Database			x	x			x			x	x		x			
	Citrus Germplasm Introduction System				x												
	Plant Inspection Trust Revenue System			x	x					x	x	x		x	x		x
	Pest Incidence Control System						x	x		x		x		x			
	Laboratory Identification Sample Tracking System				x		x										
	Agricultural Geospatial and Tabular Data Application				x		x	x									

Revision History

Date	Author	Version	Change Reference
10/15/2014	North Highland	001	Initial Cost Model reviewed with FDACS.
10/31/2014	North Highland	002	Cost Model updated with additional Cost and Benefit data from FDACS.
11/6/2014	North Highland	003	Final Review with FDACS PPMO and Accountant.

Quality Review

Name	Role	Date
John Hicks, PMP	Project Manager	11/6/2014
Scott Rainey, PMP	Engagement Manager	11/6/2014

Dollar Impact
N/A
N/A
N/A

FDACS - RLMS COTS Assumptions

	Assumption		Value
1.	Weeks Per Year		52
2.	Hours Per Week		40
3.	Internal Rate (hourly)	$	31.00
4.	External Rate (hourly)	$	160.00
5.	External Rate PM (hourly)	$	225.00
6.	Avg User License Cost - COTS Platform	$	1,500.00
7.	Avg User License Cost - COTS	$	770.00
8.	External PM to External staff ratio		1:08
9.	# of COTS System Admins		47
10.	# of COTS user licenses		500
11.	Required project team training		none
12.	Required New End User Training		2.5 days
13.	Required Yearly End User Training		1 day
14.	Computer Hardware	$	500,000
15.	Incremental Network Connectivity costs	$	1,700,000
16.	Data Center Facilities and Equipment	$	-
17.	Upgrades	$	-
18.	AST will provide IV&V		
19.	Productivity increase		15.00%

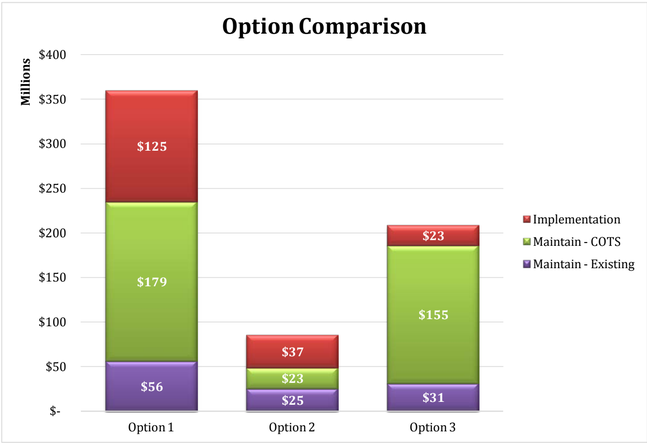
Total Hours	Weeks
1562.5	40
1218.75	30.475
650	
*doc mgmt included in CO	

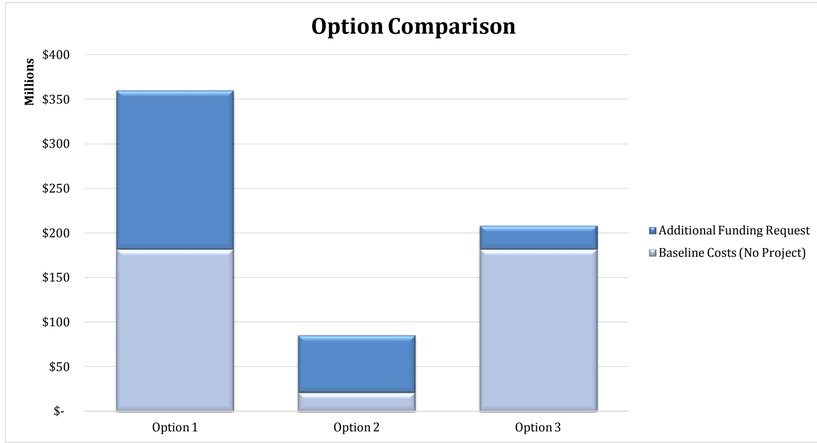
CRM

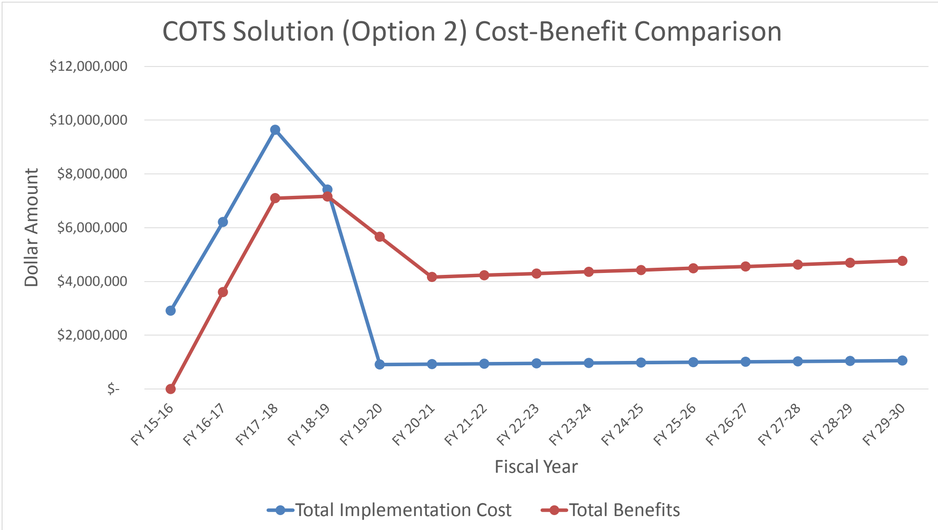
Doc Mgmt

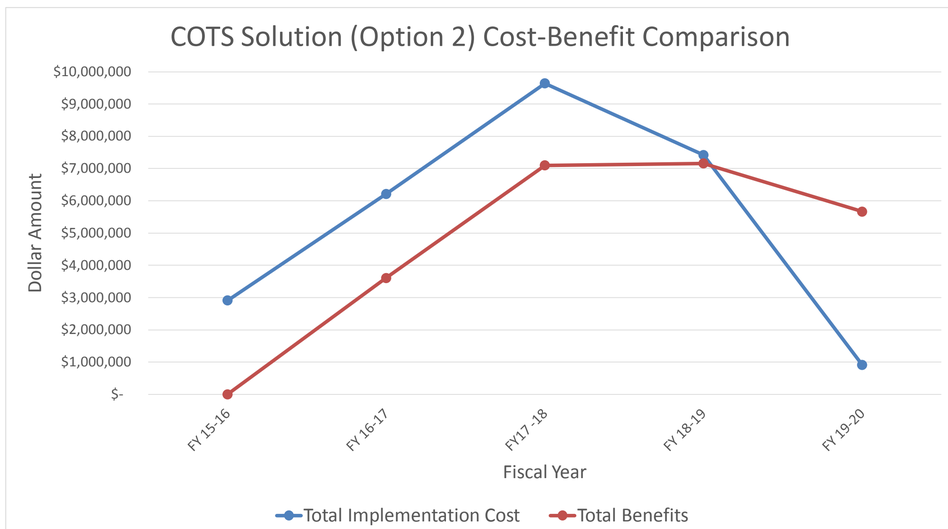
ΓS license cost

	Option 1	Option 2	Option 3
Total Cost of Ownership	**$ 359,822,965**	**$ 85,678,509**	**$ 208,579,090**
Implement - Total	$ 124,752,070	$ 37,013,535	$ 22,754,941
Maintain - Total	$ 56,144,871	$ 25,219,450	$ 30,875,493
Maintain - New System	$ 178,926,025	$ 23,445,523	$ 154,948,655
Baseline Costs (No Project)	$ 181,787,257	$ 21,513,285	$ 181,787,257
Additional Funding Request	$ 178,035,708	$ 64,165,224	$ 26,791,832









Option #1: Enterprise Data Warehouse (EDW) Leveraging Existing System

	Internal	External
Inflation Rate	1.5%	1.5%

Variables: Misc.	Implement / Support / Up	n Rate	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23
			1	2	3	4	5	6	7	8
Internal Rate (Weekly)	N/A	0.015	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376
Consultant Rate	N/A	0.015	$ 6,400	$ 6,496	$ 6,593	$ 6,692	$ 6,793	$ 6,895	$ 6,998	$ 7,103
Project Management Rate	N/A	0.015	$ 9,000	$ 9,135	$ 9,272	$ 9,411	$ 9,552	$ 9,696	$ 9,841	$ 9,989
Facilities Space: Year One Cost Per Resource		0.015	$ 10,093	$ 10,244	$ 10,398	$ 10,554	$ 10,712	$ 10,873	$ 11,036	$ 11,202
Facilities Space: Additional Cost Per Resource (Yr. One)		0.015	$ 4,154	$ 4,216	$ 4,280	$ 4,344	$ 4,409	$ 4,475	$ 4,542	$ 4,610
Facilities Space: Cost Per Resource		0.015	$ 5,939	$ 6,028	$ 6,119	$ 6,210	$ 6,303	$ 6,398	$ 6,494	$ 6,591
Facilities Space: Internal Resources Cost		0.015	$ 344	$ 349	$ 354	$ 360	$ 365	$ 371	$ 376	$ 382
RLMS System Users	N/A		3320	3320	3320	3320	3320	3320	3320	3320
RLMS System Users (New)			3320	0	0	0	0	0	0	0
Headquarter Support	N/A		47	47	47	47	47	0	0	0
Field Support	N/A		122	122	122	122	122	0	0	0
Total Support Resources - Existing Systems			169	169	169	169	169	0	0	0
RLMS Headquarter Support	N/A		0	10	47	97	112	129	139	139
RLMS Field Support	N/A		0	4	27	37	40	40	50	50
Total Support Resources - RLMS			0	14	74	134	152	169	189	189
Internal Project Team (Person Years)	N/A		29	34	39	39	39	37	0	0
External Project Team (Person Years)	N/A		31	38	43	43	43	41	0	0
External Project Managers (Person Years)	N/A		4	5	5	5	5	5	0	0
Total Implementation Effort (Person Years)			64	77	87	87	87	83	0	0
Project Team Members Borrowed From Existing Staff										
Baseline Support Team Size			169	169	169	169	169	169	169	169
Total Support Team Size			169	183	243	303	321	169	189	189
Support Delta			0	14	74	134	152	0	20	20
Support Delta (New Employees)			0	14	60	60	18	0	20	0
Internal (Not Borrowed)			29	34	39	39	39	37	0	0
Internal (Not Borrowed) - New			29	5	5	0	0	0	0	0
External Total			35	43	48	48	48	46	0	0
External Total - New			35	8	5	0	0	0	0	0
Technical Training Class Cost	N/A	0.015	0	0	0	0	0	0	0	0
Technical Classes Per Project Team Member Per Year	N/A		0	0	0	0	0	0	0	0
Weeks of Training Per NEW Non-Technical User Per Year			0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5
Weeks of Training Per Ongoing Non-Technical User Per Year	N/A		0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
Organizational Change Management: Internal Resources	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Organizational Change Management: Consultants	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Organizational Change Management: Project Managers	N/A		0.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Workforce Transition: Internal Resources	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Workforce Transition: Consultants	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Workforce Transition: Project Managers	N/A		0.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Systems & Data Strategy: Internal Resources	N/A		7.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Systems & Data Strategy: Consultants	N/A		7.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Systems & Data Strategy: Project Managers	N/A		0.9	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Project Management Office: Internal Resources	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Project Management Office: Consultants	N/A		6.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Project Management Office: Project Managers	N/A		0.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Business Process Re-Engineering: Internal Resources	N/A		6.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Business Process Re-Engineering: Consultants	N/A		6.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Business Process Re-Engineering: Project Managers	N/A		0.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Procurements: Internal Resources	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Procurements: Consultants	N/A		4.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Procurements: Project Managers	N/A		0.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Project Oversight (IV&V): Internal Resources	N/A		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Project Oversight (IV&V): Consultants	N/A		0.0	2.0	2.0	2.0	2.0	2.0	0.0	0.0
Project Oversight (IV&V): Project Managers	N/A		0.0	0.3	0.3	0.3	0.3	0.3	0.0	0.0
Project Management Office (PMO): Internal Resources	N/A		0.0	4.0	4.0	4.0	4.0	4.0	0.0	0.0
Project Management Office (PMO): Consultants	N/A		0.0	6.0	6.0	6.0	6.0	6.0	0.0	0.0
Project Management Office (PMO): Project Managers	N/A		0.0	0.8	0.8	0.8	0.8	0.8	0.0	0.0
Develop DOCS: Tech Design: Internal Resources	N/A		0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Tech Design: Consultants	N/A		0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Tech Design: Project Managers	N/A		0.0	0.6	0.6	0.6	0.6	0.6	0.0	0.0
Develop DOCS: Functional Design: Internal Resources	N/A		0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Functional Design: Consultants	N/A		0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Functional Design: Project Managers	N/A		0.0	0.6	0.6	0.6	0.6	0.6	0.0	0.0
Develop DOCS: Tech Build: Internal Resources	N/A		0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Tech Build: Consultants	N/A		0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Tech Build: Project Managers	N/A		0.0	0.6	0.6	0.6	0.6	0.6	0.0	0.0

Option #1: Enterprise Data Warehouse (EDW) Leveraging Existing System

		Internal	External
Inflation Rate		1.5%	1.5%

	Implement / Support / Up n Rate	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23
		1	2	3	4	5	6	7	8
Develop DOCS: Functional Build: Internal Resources	N/A	0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Functional Build: Consultants	N/A	0.0	5.0	5.0	5.0	5.0	5.0	0.0	0.0
Develop DOCS: Functional Build: Project Managers	N/A	0.0	0.6	0.6	0.6	0.6	0.6	0.0	0.0
Agency Onboarding: Pilot and Updates: Internal Resources	N/A	0.0	0.0	3.0	0.0	0.0	0.0	0.0	0.0
Agency Onboarding: Pilot and Updates: Consultants	N/A	0.0	0.0	3.0	0.0	0.0	0.0	0.0	0.0
Agency Onboarding: Pilot and Updates: Project Managers	N/A	0.0	0.0	0.4	0.0	0.0	0.0	0.0	0.0
Agency Onboarding: Roll-Out: Internal Resources	N/A	0.0	0.0	0.0	3.0	3.0	3.0	0.0	0.0
Agency Onboarding: Roll-Out: Consultants	N/A	0.0	0.0	0.0	3.0	3.0	3.0	0.0	0.0
Agency Onboarding: Roll-Out: Project Managers	N/A	0.0	0.0	0.0	0.4	0.4	0.4	0.0	0.0
Testing and Quality Assurance: Internal Resources	N/A	0.0	0.0	2.0	2.0	2.0	2.0	0.0	0.0
Testing and Quality Assurance: Consultants	N/A	0.0	0.0	2.0	2.0	2.0	2.0	0.0	0.0
Testing and Quality Assurance: Project Managers	N/A	0.0	0.0	0.3	0.3	0.3	0.3	0.0	0.0
Organizational Change Management: Internal Resources	N/A	0.0	4.0	4.0	4.0	4.0	4.0	0.0	0.0
Organizational Change Management: Consultants	N/A	0.0	4.0	4.0	4.0	4.0	4.0	0.0	0.0
Organizational Change Management: Project Managers	N/A	0.0	0.5	0.5	0.5	0.5	0.5	0.0	0.0
Workforce Transition: Internal Resources	N/A	0.0	4.0	4.0	4.0	4.0	4.0	0.0	0.0
Workforce Transition: Consultants	N/A	0.0	4.0	4.0	4.0	4.0	4.0	0.0	0.0
Workforce Transition: Project Managers	N/A	0.0	0.5	0.5	0.5	0.5	0.5	0.0	0.0
End User Training (DDI P1): Internal Resources (Trainers)	N/A	0.0	2.0	2.0	2.0	2.0	2.0	0.0	0.0
End User Training (DDI P1): Consultants	N/A	0.0	2.0	2.0	2.0	2.0	2.0	0.0	0.0
End User Training (DDI P1): Project Managers	N/A	0.0	0.3	0.3	0.3	0.3	0.3	0.0	0.0
Enhance Upgraded : Tech Design: Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Tech Design: Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Tech Design: Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Functional Design: Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Functional Design: Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Functional Design: Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Tech Build: Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Tech Build: Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Tech Build: Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Functional Build: Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Functional Build: Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Functional Build: Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Pilot and Updates: Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Pilot and Updates: Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Pilot and Updates: Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Roll-Out: Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Roll-Out: Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : Roll-Out: Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : End User Training (DDI P2): Internal Resources	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : End User Training (DDI P2): Consultants	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Enhance Upgraded : End User Training (DDI P2): Project Managers	N/A	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Organizational Change Management: Internal Resources	N/A	52	0	0	0	0	0	0	0
Organizational Change Management: Consultants	N/A	52	0	0	0	0	0	0	0
Organizational Change Management: Project Managers	N/A	52	0	0	0	0	0	0	0
Workforce Transition: Internal Resources	N/A	52	0	0	0	0	0	0	0
Workforce Transition: Consultants	N/A	52	0	0	0	0	0	0	0
Workforce Transition: Project Managers	N/A	52	0	0	0	0	0	0	0
Systems & Data Strategy: Internal Resources	N/A	52	0	0	0	0	0	0	0
Systems & Data Strategy: Consultants	N/A	52	0	0	0	0	0	0	0
Systems & Data Strategy: Project Managers	N/A	52	0	0	0	0	0	0	0
Project Management Office: Internal Resources	N/A	52	0	0	0	0	0	0	0
Project Management Office: Consultants	N/A	52	0	0	0	0	0	0	0
Project Management Office: Project Managers	N/A	52	0	0	0	0	0	0	0
Business Process Re-Engineering: Internal Resources	N/A	52	0	0	0	0	0	0	0
Business Process Re-Engineering: Consultants	N/A	52	0	0	0	0	0	0	0
Business Process Re-Engineering: Project Managers	N/A	52	0	0	0	0	0	0	0
Procurements: Internal Resources	N/A	52	0	0	0	0	0	0	0
Procurements: Consultants	N/A	52	0	0	0	0	0	0	0
Procurements: Project Managers	N/A	52	0	0	0	0	0	0	0
Project Oversight (IV&V): Internal Resources	N/A	0	52	52	52	52	52	0	0
Project Oversight (IV&V): Consultants	N/A	0	52	52	52	52	52	0	0
Project Oversight (IV&V): Project Managers	N/A	0	52	52	52	52	52	0	0
Project Management Office (PMO): Internal Resources	N/A	0	52	52	52	52	52	0	0
Project Management Office (PMO): Consultants	N/A	0	52	52	52	52	52	0	0
Project Management Office (PMO): Project Managers	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Tech Design: Internal Resources	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Tech Design: Consultants	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Tech Design: Project Managers	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Functional Design: Internal Resources	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Functional Design: Consultants	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Functional Design: Project Managers	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Tech Build: Internal Resources	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Tech Build: Consultants	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Tech Build: Project Managers	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Functional Build: Internal Resources	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Functional Build: Consultants	N/A	0	52	52	52	52	52	0	0
Develop DOCS: Functional Build: Project Managers	N/A	0	52	52	52	52	52	0	0

Option #1: Enterprise Data Warehouse (EDW) Leveraging Existing System

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up n Rate	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23
			1	2	3	4	5	6	7	8
	Agency Onboarding: Pilot and Updates: Internal Resources	N/A	0	52	52	52	52	52	0	0
	Agency Onboarding: Pilot and Updates: Consultants	N/A	0	52	52	52	52	52	0	0
	Agency Onboarding: Pilot and Updates: Project Managers	N/A	0	52	52	52	52	52	0	0
	Agency Onboarding: Roll-Out: Internal Resources	N/A	0	52	52	52	52	52	0	0
	Agency Onboarding: Roll-Out: Consultants	N/A	0	52	52	52	52	52	0	0
	Agency Onboarding: Roll-Out: Project Managers	N/A	0	52	52	52	52	52	0	0
	Testing and Quality Assurance: Internal Resources	N/A	0	0	52	52	52	0	0	0
	Testing and Quality Assurance: Consultants	N/A	0	0	52	52	52	0	0	0
	Testing and Quality Assurance: Project Managers	N/A	0	0	52	52	52	0	0	0
	Organizational Change Management: Internal Resources	N/A	0	52	52	52	52	52	0	0
	Organizational Change Management: Consultants	N/A	0	52	52	52	52	52	0	0
	Organizational Change Management: Project Managers	N/A	0	52	52	52	52	52	0	0
	Workforce Transition: Internal Resources	N/A	0	52	52	52	52	52	0	0
	Workforce Transition: Consultants	N/A	0	52	52	52	52	52	0	0
	Workforce Transition: Project Managers	N/A	0	52	52	52	52	52	0	0
	End User Training (DDI P1): Internal Resources (Trainers)	N/A	0	52	52	52	52	52	0	0
	End User Training (DDI P1): Consultants	N/A	0	52	52	52	52	52	0	0
	End User Training (DDI P1): Project Managers	N/A	0	52	52	52	52	52	0	0
Required Purchases	Facilities Costs	Implement - Other	$ 655,928.00	$ 679,155.79	$ 1,324,695.24	$ 1,695,328.02	$ 1,655,617.82	$ 544,744.82	$ 228,245.35	$ 139,463.11
	End User Training (DDI P1) (Employee Time)	Implement - Other	$ 2,058,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Computer Hardware	Implement - Other	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Software / Supporting Infrastructure Applications	Implement - Other	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Data Center Facilities and Equipment	Implement - Other			$ 222,000	$ 222,000	$ 222,000	$ 222,000	$ 222,000	$ 222,000
	SUBTOTAL	N/A	$ 2,714,328	$ 679,156	$ 1,546,695	$ 1,917,328	$ 1,877,618	$ 766,745	$ 450,245	$ 361,463
Pre DDI	Organizational Change Management: Internal Resources	Implement - Internal	$ 257,920	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External	$ 1,331,200	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External	$ 234,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal	$ 257,920	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External	$ 1,331,200	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External	$ 234,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Internal Resources	Implement - Internal	$ 451,360	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Consultants	Implement - External	$ 2,329,600	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Project Managers	Implement - External	$ 409,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal	$ 257,920	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External	$ 1,996,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External	$ 351,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Internal Resources	Implement - Internal	$ 386,880	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Consultants	Implement - External	$ 1,996,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Project Managers	Implement - External	$ 351,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Internal Resources	Implement - Internal	$ 257,920	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Consultants	Implement - External	$ 1,331,200	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Project Managers	Implement - External	$ 234,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A	$ 1,823,120	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A	$ 1,823,120	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy	N/A	$ 3,190,460	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A	$ 2,605,720	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering	N/A	$ 2,734,680	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Procurements	N/A	$ 1,823,120	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A	$ 14,000,220	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Internal Resources	Implement - Internal	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Consultants	Implement - External	$ -	$ 675,584.00	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ 717,040.23	$ -	$ -
	Project Oversight (IV&V): Project Managers	Implement - External	$ -	$ 118,755.00	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ 126,042.23	$ -	$ -
	Project Management Office (PMO): Internal Resources	Implement - Internal	$ -	$ 261,788.80	$ 265,715.63	$ 269,701.37	$ 273,746.89	$ 277,853.09	$ -	$ -
	Project Management Office (PMO): Consultants	Implement - External	$ -	$ 2,026,752.00	$ 2,057,153.28	$ 2,088,010.58	$ 2,119,330.74	$ 2,151,120.70	$ -	$ -
	Project Management Office (PMO): Project Managers	Implement - External	$ -	$ 356,265.00	$ 361,608.98	$ 367,033.11	$ 372,538.61	$ 378,126.69	$ -	$ -
	Develop DOCS: Tech Design: Internal Resources	Implement - Internal	$ -	$ 327,236.00	$ 332,144.54	$ 337,126.71	$ 342,183.61	$ 347,316.36	$ -	$ -
	Develop DOCS: Tech Design: Consultants	Implement - External	$ -	$ 1,688,960.00	$ 1,714,294.40	$ 1,740,008.82	$ 1,766,108.95	$ 1,792,600.58	$ -	$ -
	Develop DOCS: Tech Design: Project Managers	Implement - External	$ -	$ 296,887.50	$ 301,340.81	$ 305,860.92	$ 310,448.84	$ 315,105.57	$ -	$ -
	Develop DOCS: Functional Design: Internal Resources	Implement - Internal	$ -	$ 327,236.00	$ 332,144.54	$ 337,126.71	$ 342,183.61	$ 347,316.36	$ -	$ -
	Develop DOCS: Functional Design: Consultants	Implement - External	$ -	$ 1,688,960.00	$ 1,714,294.40	$ 1,740,008.82	$ 1,766,108.95	$ 1,792,600.58	$ -	$ -
	Develop DOCS: Functional Design: Project Managers	Implement - External	$ -	$ 296,887.50	$ 301,340.81	$ 305,860.92	$ 310,448.84	$ 315,105.57	$ -	$ -
	Develop DOCS: Tech Build: Internal Resources	Implement - Internal	$ -	$ 327,236.00	$ 332,144.54	$ 337,126.71	$ 342,183.61	$ 347,316.36	$ -	$ -
	Develop DOCS: Tech Build: Consultants	Implement - External	$ -	$ 1,688,960.00	$ 1,714,294.40	$ 1,740,008.82	$ 1,766,108.95	$ 1,792,600.58	$ -	$ -
	Develop DOCS: Tech Build: Project Managers	Implement - External	$ -	$ 296,887.50	$ 301,340.81	$ 305,860.92	$ 310,448.84	$ 315,105.57	$ -	$ -
	Develop DOCS: Functional Build: Internal Resources	Implement - Internal	$ -	$ 327,236.00	$ 332,144.54	$ 337,126.71	$ 342,183.61	$ 347,316.36	$ -	$ -
	Develop DOCS: Functional Build: Consultants	Implement - External	$ -	$ 1,688,960.00	$ 1,714,294.40	$ 1,740,008.82	$ 1,766,108.95	$ 1,792,600.58	$ -	$ -
	Develop DOCS: Functional Build: Project Managers	Implement - External	$ -	$ 296,887.50	$ 301,340.81	$ 305,860.92	$ 310,448.84	$ 315,105.57	$ -	$ -
	Agency Onboarding: Pilot and Updates: Internal Resources	Implement - Internal	$ -	$ -	$ 199,286.72	$ -	$ -	$ -	$ -	$ -
	Agency Onboarding: Pilot and Updates: Consultants	Implement - External	$ -	$ -	$ 1,028,576.64	$ -	$ -	$ -	$ -	$ -
	Agency Onboarding: Pilot and Updates: Project Managers	Implement - External	$ -	$ -	$ 180,804.49	$ -	$ -	$ -	$ -	$ -
	Agency Onboarding: Roll-Out: Internal Resources	Implement - Internal	$ -	$ -	$ -	$ 202,276.02	$ 205,310.17	$ 208,389.82	$ -	$ -
	Agency Onboarding: Roll-Out: Consultants	Implement - External	$ -	$ -	$ -	$ 1,044,005.29	$ 1,059,665.37	$ 1,075,560.35	$ -	$ -
	Agency Onboarding: Roll-Out: Project Managers	Implement - External	$ -	$ -	$ -	$ 183,516.55	$ 186,269.30	$ 189,063.34	$ -	$ -
	Testing and Quality Assurance: Internal Resources	Implement - Internal	$ -	$ -	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -
	Testing and Quality Assurance: Consultants	Implement - External	$ -	$ -	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ -	$ -	$ -
	Testing and Quality Assurance: Project Managers	Implement - External	$ -	$ -	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ -	$ -	$ -

Option #1: Enterprise Data Warehouse (EDW) Leveraging Existing System

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up	n Rate	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23
				1	2	3	4	5	6	7	8
DDI P1	Organizational Change Management: Internal Resources	Implement - Internal		$ -	$ 261,788.80	$ 265,715.63	$ 269,701.37	$ 273,746.89	$ 277,853.09	$ -	$ -
	Organizational Change Management: Consultants	Implement - External		$ -	$ 1,351,168.00	$ 1,371,435.52	$ 1,392,007.05	$ 1,412,887.16	$ 1,434,080.47	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External		$ -	$ 237,510.00	$ 241,072.65	$ 244,688.74	$ 248,359.07	$ 252,084.46	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal		$ -	$ 261,788.80	$ 265,715.63	$ 269,701.37	$ 273,746.89	$ 277,853.09	$ -	$ -
	Workforce Transition: Consultants	Implement - External		$ -	$ 1,351,168.00	$ 1,371,435.52	$ 1,392,007.05	$ 1,412,887.16	$ 1,434,080.47	$ -	$ -
	Workforce Transition: Project Managers	Implement - External		$ -	$ 237,510.00	$ 241,072.65	$ 244,688.74	$ 248,359.07	$ 252,084.46	$ -	$ -
	End User Training (DDI P1): Internal Resources (Trainers)	Implement - Internal		$ -	$ 130,894.40	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ 138,926.55	$ -	$ -
	End User Training (DDI P1): Consultants	Implement - External		$ -	$ 675,584.00	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ 717,040.23	$ -	$ -
	End User Training (DDI P1): Project Managers	Implement - External		$ -	$ 118,755.00	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ 126,042.23	$ -	$ -
	Project Oversight (IV&V)	N/A		$ -	$ 794,339	$ 806,254	$ 818,348	$ 830,623	$ 843,082	$ -	$ -
	Project Management Office (PMO)	N/A		$ -	$ 2,644,806	$ 2,684,478	$ 2,724,745	$ 2,765,616	$ 2,807,100	$ -	$ -
	Re-Write (Central and Departmental: Tech Design	N/A		$ -	$ 2,313,084	$ 2,347,780	$ 2,382,996	$ 2,418,741	$ 2,455,023	$ -	$ -
	Re-Write (Central and Departmental: Functional Design	N/A		$ -	$ 2,313,084	$ 2,347,780	$ 2,382,996	$ 2,418,741	$ 2,455,023	$ -	$ -
	Re-Write (Central and Departmental: Tech Build	N/A		$ -	$ 2,313,084	$ 2,347,780	$ 2,382,996	$ 2,418,741	$ 2,455,023	$ -	$ -
	Re-Write (Central and Departmental: Functional Build	N/A		$ -	$ 2,313,084	$ 2,347,780	$ 2,382,996	$ 2,418,741	$ 2,455,023	$ -	$ -
	Re-Write (Central and Departmental: Pilot and Updates	N/A		$ -	$ -	$ 1,408,668	$ -	$ -	$ -	$ -	$ -
	Re-Write (Central and Departmental: Roll-Out	N/A		$ -	$ -	$ -	$ 1,429,798	$ 1,451,245	$ 1,473,014	$ -	$ -
	Enhance Payroll: Tech Design	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Enhance Payroll: Functional Design	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Enhance Payroll: Tech Build	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Enhance Payroll: Functional Build	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Enhance Payroll: Pilot and Updates	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Enhance Payroll: Roll-Out	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade Information Warehouse to Support RLMS Payroll	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	FFMIS System Integration	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	People First liaison	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	MFMP liaison	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	LAS / PBS liaison	N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance	N/A		$ -	$ -	$ 939,112	$ 953,199	$ 967,497	$ -	$ -	$ -
	Organizational Change Management	N/A		$ -	$ 1,850,467	$ 1,878,224	$ 1,906,397	$ 1,934,993	$ 1,964,018	$ -	$ -
	Workforce Transition	N/A		$ -	$ 1,850,467	$ 1,878,224	$ 1,906,397	$ 1,934,993	$ 1,964,018	$ -	$ -
	End User Training (DDI P1) (Trainers and Consultants)	N/A		$ -	$ 925,233	$ 939,112	$ 953,199	$ 967,497	$ 982,009	$ -	$ -
	Project Team Training	Implement - Internal		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A		$ -	$ 17,317,646	$ 19,925,190	$ 20,224,068	$ 20,527,429	$ 19,853,332	$ -	$ -
Ongoing Support	Hardware, Data Center Facilities and Other Equipment Purchases	Maintenance - RLMS		$ -	$ -		$ -	$ -	$ -		$ -
	Hardware, Data Center Facilities and Other Equipment Maintenance	Maintenance - RLMS		$ -	$ -	$ 44,400	$ 44,400	$ 44,400	$ 44,400	$ 44,400	$ 44,400
	Headquarter Support	Maintenance - Old		$ 3,030,560	$ 3,076,018	$ 3,122,159	$ 3,168,991	$ 3,216,526	$ -	$ -	$ -
	Field Support	Maintenance - Old		$ 7,866,560	$ 7,984,558	$ 8,104,327	$ 8,225,892	$ 8,349,280	$ -	$ -	$ -
	Infrastructure Support / Other Expenditures	Maintenance - Old	0.015	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	RLMS Headquarters Support	Maintenance - RLMS		$ -	$ 654,472	$ 3,122,159	$ 6,540,258	$ 7,664,913	$ 8,960,762	$ 9,800,226	$ 9,947,229
	RLMS Field Support	Maintenance - RLMS	0.015	$ -	$ 261,789	$ 1,793,581	$ 2,494,738	$ 2,737,469	$ 2,778,531	$ 3,525,261	$ 3,578,140
	RLMS Infrastructure Support / Other Expenditures	Maintenance - RLMS	0.015	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End-User Training (Employee Time)	Maintenance - RLMS		$ 823,360	$ 835,710	$ 848,246	$ 860,970	$ 873,884	$ 886,993	$ 900,297	$ 913,802
	SUBTOTAL	N/A		$ 11,720,480	$ 12,812,548	$ 17,034,871	$ 21,335,248	$ 22,886,472	$ 12,670,686	$ 14,270,184	$ 14,483,571
Baselines	Operational Support Baseline	N/A	0.015	$ 3,030,560	$ 3,076,018	$ 3,122,159	$ 3,168,991	$ 3,216,526	$ 3,264,774	$ 3,313,745	$ 3,363,452
	Technical Support Baseline	N/A	0.015	$ 7,866,560	$ 7,984,558	$ 8,104,327	$ 8,225,892	$ 8,349,280	$ 8,474,519	$ 8,601,637	$ 8,730,662
	Infrastructure Support / Other Expenditures Baseline	N/A	0.015	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A		$ 10,897,120	$ 11,060,577	$ 11,226,485	$ 11,394,883	$ 11,565,806	$ 11,739,293	$ 11,915,382	$ 12,094,113

TOTAL			$ 28,435,028	$ 30,809,350	$ 38,506,756	$ 43,476,644	$ 45,291,519	$ 33,290,762	$ 14,720,430	$ 14,845,034
Cumulative Costs			$ 28,435,028	$ 59,244,378	$ 97,751,134	$ 141,227,778	$ 186,519,297	$ 219,810,059	$ 234,530,489	$ 249,375,523
Implement - Other			$ 2,714,328	$ 679,156	$ 1,546,695	$ 1,917,328	$ 1,877,618	$ 766,745	$ 450,245	$ 361,463
Implement - External			$ 12,130,300	$ 15,092,441	$ 17,334,463	$ 17,594,480	$ 17,858,397	$ 17,283,190	$ -	$ -
Implement - Internal			$ 1,869,920	$ 2,225,205	$ 2,590,727	$ 2,629,588	$ 2,669,032	$ 2,570,141	$ -	$ -
Implement - Total			$ 16,714,548	$ 17,996,802	$ 21,471,885	$ 22,141,396	$ 22,405,047	$ 20,620,076	$ 450,245	$ 361,463
Maintenance - Old			$ 10,897,120	$ 11,060,577	$ 11,226,485	$ 11,394,883	$ 11,565,806	$ -	$ -	$ -
Maintenance - RLMS			$ 823,360	$ 1,751,971	$ 5,808,385	$ 9,940,366	$ 11,320,666	$ 12,670,686	$ 14,270,184	$ 14,483,571
Baseline Expenditures (i.e. Maintain w/ inflation)		0.015	$ 10,897,120	$ 11,060,577	$ 11,226,485	$ 11,394,883	$ 11,565,806	$ 11,739,293	$ 11,915,382	$ 12,094,113
Additional Required Expenditures for Project			$ 17,537,908	$ 19,748,773	$ 27,280,271	$ 32,081,762	$ 33,725,713	$ 21,551,469	$ 2,805,047	$ 2,750,921

NPV Calculations	@ 3% Cost of Capital		$ 27,606,823	$ 29,040,767	$ 35,239,137	$ 38,628,435	$ 39,068,862	$ 27,880,489	$ 11,969,056	$ 11,718,807
	@ 5% Cost of Capital		$ 27,080,979	$ 27,944,988	$ 33,263,584	$ 35,768,343	$ 35,487,090	$ 24,842,079	$ 10,461,535	$ 10,047,703
	@ 8% Cost of Capital		$ 26,328,730	$ 26,414,051	$ 30,567,905	$ 31,956,632	$ 30,824,647	$ 20,978,827	$ 8,589,229	$ 8,020,310
	@ 10% Cost of Capital		$ 25,850,025	$ 25,462,272	$ 28,930,696	$ 29,695,133	$ 28,122,470	$ 18,791,767	$ 7,553,908	$ 6,925,318
	@ 12% Cost of Capital		$ 25,388,418	$ 24,561,025	$ 27,408,348	$ 27,630,193	$ 25,699,624	$ 16,866,136	$ 6,658,775	$ 5,995,660

FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
9	10	11	12	13	14	15
$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
$ 7,210	$ 7,318	$ 7,427	$ 7,539	$ 7,652	$ 7,767	$ 7,883
$ 10,138	$ 10,291	$ 10,445	$ 10,602	$ 10,761	$ 10,922	$ 11,086
$ 11,370	$ 11,540	$ 11,713	$ 11,889	$ 12,067	$ 12,248	$ 12,432
$ 4,679	$ 4,750	$ 4,821	$ 4,893	$ 4,967	$ 5,041	$ 5,117
$ 6,690	$ 6,791	$ 6,892	$ 6,996	$ 7,101	$ 7,207	$ 7,315
$ 388	$ 393	$ 399	$ 405	$ 411	$ 417	$ 424
3320	3320	3320	3320	3320	3320	3320
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139	139	139	139	139	139	139
50	50	50	50	50	50	50
189	189	189	189	189	189	189
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169	169	169	169	169	169	169
189	189	189	189	189	189	189
20	20	20	20	20	20	20
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FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
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FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
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$ 141,555.06	$ 143,678.38	$ 145,833.56	$ 148,021.06	$ 150,241.38	$ 152,495.00	$ 154,782.43
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$ 222,000	$ 222,000	$ 222,000	$ 222,000	$ 222,000	$ 222,000	$ 222,000
$ 363,555	$ 365,678	$ 367,834	$ 370,021	$ 372,241	$ 374,495	$ 376,782
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FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30	
9	10	11	12	13	14	15	
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FDACS - Overview of Projected Costs for RLMS Inte

COTS (Option #2)

Activity

Implementation Resources

1.	**Pre - DDI** Org. Change Management Workforce Transition Systems & Data Strategy Project Mgt. Office Business Process Re-engineering DDI Procurements
2.	**Design, Development & Implementation** Project Oversight (IV & V) PM Office Implement in COTS - Functional Implement in COTS - Technical Roll-out to COTS Testing & Quality Assurance Org. Change Management Workforce Transition End User Training
3.	**Variable Upgrades** Upgrade 1 (Minor) Upgrade 2 (Major) Upgrade 3 (Minor)
4.	**Required Purchases** Software Licenses: COTS Facilities Space Cost End User Training (Employee Time) Computer Hardware Network Connectivity Data Center Facilities and Equipment
5.	***Incremental Costs of Production and Implementation***

6.	***Incremental Maintenance Costs of Implementation***
	Annual Budget Request (a)

Maintenance Resources (Existing Staff and Support)

7.	**Ongoing System Support**
	Software Maintenance Fees
	COTS Infrastructure Support / Other Expenditures
	Hardware, Data Center Facilities and Other Equip. Purch
	Hardware, Data Center Facilities and Other Equip. Maint
	Headquarters Support
	Field Support
	Infrastructure Support / Other Expenditures
	COTS Headquarters Support
	COTS Field Support
	End-User Training (Employee Time)
	Total Costs of Internal Maintenance and Support
8.	**Baseline Maintenance Costs (*year one plus inflation*)**
9.	***Incremental Maintenance Costs of Implementation (b)***

10.	***Annual Incremental Cost of Ownership***

<u>Benefits (Cost Savings and Avoidance)</u>

11.	Staffing Cost Avoidance
	New System / Enhancement Avoidance
	Total Benefits: Cost Savings and Avoidance

Net Total Cost of Ownership
Cumulative Net Total Cost of Ownership

gration

Notes	Year #1 Fiscal Year 2015-16 Internal	Consult's.	Proj. Mgrs.	Combined
In the first year (**Year 1**), Pre-DDI activities are conducted but no actual system design or development occurs. Accordingly, all costs are directly related to internal & external staffing (with the lone exception of facilities costs for existing internal staff).	193,440	998,400	175,500	1,367,340
	96,720	499,200	87,750	683,670
	451,360	2,329,600	409,500	3,190,460
	193,440	998,400	175,500	1,367,340
	193,440	998,400	175,500	1,367,340
	193,440	998,400	175,500	1,367,340
	1,321,840	6,822,400	1,199,250	9,343,490
Beginning in the 2nd year (**Year 2**), actual development and hard costs are incurred for staffing (internal & external) as well as for specific purchases related to licensing, expanded networking, hardware, and employee/end-user training.				
No projected costs have been included for future upgrades, although it is almost certain the new system will require periodic maintenance for such needs.				
This section details the **Year 2** (and subsequent) hard costs referenced in the above narrative for *Design, Development & Implementation*.	-			-
	456,191			456,191
	-			-
	-			-
	-			-
	-			-
	456,191	-	-	456,191
This line represents the projected incremental costs associated with the initial design, development and ultimate implementation of RLMS.	1,778,031	6,822,400	1,199,250	9,799,681

See items **7.-9.** below.	-	-	-	-
This is derived from the total hard costs of implementation (**line 5.**) <u>plus</u> the incremental costs of *maintenance and internal support* over and above its non-RLMS levels.	1,778,031	6,822,400	1,199,250	9,799,681
In the first year **(Year 1)**, the ongoing maintenance costs consists strictly of existing staff and support. Beginning in the 2nd year **(Year 2)**, and as the project ramps up, incremental hard costs are incurred related directly to RLMS implementation.	-			- - - - - 3,030,560 7,866,560 - - - - -
	10,897,120	-	-	10,897,120
These costs are derived from the existing staff and support. In **Year 1**, these costs are identical irrespective of RLMS. In subsequent years, the baseline costs are adjusted *1.5%* per year for inflation.	(10,897,120)			(10,897,120)
This is the calculated incremental difference between: 1) maintenance costs for the RLMS and 2) the costs of existing staff support, assuming no RLMS implementation. This is added to implementation hard costs to derive the total budget request.	-	-	-	-
				-

This represents the actual cost of development and implementation for all phases of integration, up to and including the ongoing maintenance by internal staff & support.	12,675,151	6,822,400	1,199,250	20,696,801
These are the economies and cost savings generated from the efficiencies achieved via the	-			-
	(3,114,286)			(3,114,286)
	(3,114,286)	-	-	(3,114,286)
These are the costs of all phases of integration, less the derived benefits.	9,560,865	6,822,400	1,199,250	17,582,515
				17,582,515

Option #2: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Upg	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Misc. Variables – Labor Rates	Internal Rate (Weekly)	N/A	0.015	N/A	N/A	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376	$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
	Internal Rate (Weekly) - COTS	N/A	0.015	N/A	N/A	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376	$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
	External Consultant Rate	N/A	0.015	N/A	N/A	$ 6,400	$ 6,496	$ 6,593	$ 6,692	$ 6,793	$ 6,895	$ 6,998	$ 7,103	$ 7,210	$ 7,318	$ 7,427	$ 7,539	$ 7,652	$ 7,767	$ 7,883
	External Management Rate	N/A	0.015	N/A	N/A	$ 9,000	$ 9,135	$ 9,272	$ 9,411	$ 9,552	$ 9,696	$ 9,841	$ 9,989	$ 10,138	$ 10,291	$ 10,445	$ 10,602	$ 10,761	$ 10,922	$ 11,086
Facilities Rates	Facilities Space: Year One Cost Per Resource	N/A	0.015	N/A	N/A	$ 10,093	$ 10,244	$ 10,398	$ 10,554	$ 10,712	$ 10,873	$ 11,036	$ 11,202	$ 11,370	$ 11,540	$ 11,713	$ 11,889	$ 12,067	$ 12,248	$ 12,432
	Facilities Space: Additional Cost Per Resource (Yr. One)	N/A	0.015	N/A	N/A	$ 4,154	$ 4,216	$ 4,280	$ 4,344	$ 4,409	$ 4,475	$ 4,542	$ 4,610	$ 4,679	$ 4,750	$ 4,821	$ 4,893	$ 4,967	$ 5,041	$ 5,117
	Facilities Space: Cost Per Resource	N/A	0.015	N/A	N/A	$ 5,939	$ 6,028	$ 6,119	$ 6,210	$ 6,303	$ 6,398	$ 6,494	$ 6,591	$ 6,690	$ 6,791	$ 6,892	$ 6,996	$ 7,101	$ 7,207	$ 7,315
	Facilities Space: Internal Resources Cost	N/A	0.015	N/A	N/A	$ 344	$ 349	$ 354	$ 360	$ 365	$ 371	$ 376	$ 382	$ 388	$ 393	$ 399	$ 405	$ 411	$ 417	$ 424
System Users	COTS System Administrators	N/A		N/A	N/A	0	47	47	47	47	47	47	47	47	47	47	47	47	47	47
	COTS Admin Delta	N/A		N/A	N/A	0	47	0	0	0	0	0	0	0	0	0	0	0	0	0
	COTS System Users	N/A		N/A	N/A	0	50	400	400	400	400	400	400	400	400	400	400	400	400	400
	Call Center Users (Not included for FY 16-17 ask)	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Document Management	N/A		N/A	N/A	0	50	100	200	200	200	200	200	200	200	200	200	200	200	200
	CRM Users	N/A		N/A	N/A	0	50	100	300	300	300	300	300	300	300	300	300	300	300	300
	COTS System Users (NEW)	N/A		N/A	N/A	0	50	350	0	0	0	0	0	0	0	0	0	0	0	0
	Call Center Users (NEW)	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Document Management Users (NEW)	N/A		N/A	N/A	0	50	50	100	0	0	0	0	0	0	0	0	0	0	0
	CRM Users (NEW)	N/A		N/A	N/A	0	50	50	200	0	0	0	0	0	0	0	0	0	0	0
System Support	Headquarters Support	N/A		N/A	N/A	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	Field Support	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total Support Resources - Existing Systems	N/A		A-1.b. State FTEs (# FTEs)	Existing	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	COTS Headquarters Support	N/A		N/A	New	0	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	COTS Field Support	N/A		N/A	New	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total Support Resources - COTS	N/A		A-1.b. State FTEs (# FTEs)	New	0	20	20	20	20	20	20	20	20	20	20	20	20	20	20
Project Team	Internal Project Team (Person Years)	N/A		N/A	N/A	9	12	19	15	0	0	0	0	0	0	0	0	0	0	0
	External Project Team (Person Years)	N/A		N/A	N/A	6	10	16	12	0	0	0	0	0	0	0	0	0	0	0
	External Project Managers (Person Years)	N/A		N/A	N/A	1	1	2	2	0	0	0	0	0	0	0	0	0	0	0
	Total Implementation Effort (Person Years)	N/A		N/A	N/A	16	23	37	29	0	0	0	0	0	0	0	0	0	0	0
Staff Planning	Total Internal Resources (Roles)	N/A		N/A		55	61	61	59	40	40	40	40	40	40	40	40	40	40	40
	Project Team Members Borrowed From Existing Staff	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total OPS Resources	N/A		A-2.b. OPS FTEs (# FTEs)	New	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Additional Person Years Required	N/A		A-1.b. State FTEs (# FTEs)	New	9	33	40	36	20	20	20	20	20	20	20	20	20	20	20
	Baseline Support Team Effort (Person Years)	N/A		N/A	N/A	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	Total Support Team Effort (Person Years)	N/A		N/A	N/A	20	40	40	40	40	40	40	40	40	40	40	40	40	40	40
	Support Delta	N/A		N/A	N/A	0	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	Support Delta (New Employees)	N/A		N/A	N/A	0	20	0	0	0	0	0	0	0	0	0	0	0	0	0
	Internal (Not Borrowed)	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Internal (Not Borrowed) - New	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	External Total	N/A		N/A	N/A	7	11	18	14	0	0	0	0	0	0	0	0	0	0	0
	External Total - New	N/A		N/A	N/A	7	4	7	0	0	0	0	0	0	0	0	0	0	0	0
Training	Technical Training Class Cost	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Technical Classes Per Project Team Member Per Year	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Weeks of Training Per Non-Technical User Per Year	N/A		N/A	N/A	0.0	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
	Weeks of Training Per Non-Technical User Per Year (NEW)	N/A		N/A	N/A	0.0	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5
Software Licenses	Average User License: COTS	N/A	0.015	N/A	N/A	1400	1421	1442	1464	1486	1508	1531	1554	1577	1601	1625	1649	1674	1699	1724
	Average User License: Call Center	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Average User License: Document Management	N/A		N/A	N/A	2700	2741	2782	2823	2866	2909	2952	2997	3042	3087	3133	3180	3228	3277	3326
	Average User License: CRM	N/A		N/A	N/A	1540	1563	1587	1610	1634	1659	1684	1709	1735	1761	1787	1814	1841	1869	1897
	Total Software License Fees	N/A		N/A	N/A	$ -	$ 286,230	$ 802,545	$ 765,437	$ 490,350	$ 497,705	$ 505,171	$ 512,748	$ 520,440	$ 528,246	$ 536,170	$ 544,212	$ 552,376	$ 560,661	$ 569,071
Pre-DDI	Organizational Change Management: Internal Resources	N/A		N/A	N/A	2.00	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
	Organizational Change Management: Consultants	N/A		N/A	N/A	2.00	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
	Organizational Change Management: Project Managers	N/A		N/A	N/A	0.25	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
	Workforce Transition: Internal Resources	N/A		N/A	N/A	2.00	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
	Workforce Transition: Consultants	N/A		N/A	N/A	1.00	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
	Workforce Transition: Project Managers	N/A		N/A	N/A	0.13	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
	Systems & Data Strategy: Internal Resources	N/A		N/A	N/A	3.00	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
	Systems & Data Strategy: Consultants	N/A		N/A	N/A	2.00	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
	Systems & Data Strategy: Project Managers	N/A		N/A	N/A	0.25	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
	Project Management Office: Internal Resources	N/A		N/A	N/A	3.00	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
	Project Management Office: Consultants	N/A		N/A	N/A	2.00	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
	Project Management Office: Project Managers	N/A		N/A	N/A	0.25	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
	Business Process Re-Engineering: Internal Resources	N/A		N/A	N/A	3.00	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
	Business Process Re-Engineering: Consultants	N/A		N/A	N/A	3.00	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
	Business Process Re-Engineering: Project Managers	N/A		N/A	N/A	0.38	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
	Procurements: Internal Resources	N/A		N/A	N/A	2.00	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
	Procurements: Consultants	N/A		N/A	N/A	2.00	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
	Procurements: Project Managers	N/A		N/A	N/A	0.25	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
se 1	Project Oversight (IV&V): Internal Resources	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Project Oversight (IV&V): Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Project Oversight (IV&V): Project Managers	N/A		N/A	N/A	0.00	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Project Management Office: Internal Resources	N/A		N/A	N/A	3.00	3.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Project Management Office: Consultants	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Project Management Office: Project Managers	N/A		N/A	N/A	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Implement in COTS - Functional: Internal Resources	N/A		N/A	N/A	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Implement in COTS - Functional: Consultants	N/A		N/A	N/A	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Implement in COTS - Functional: Project Managers	N/A		N/A	N/A	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Implement in COTS - Technical: Internal Resources	N/A		N/A	N/A	3.00	3.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Implement in COTS - Technical: Consultants	N/A		N/A	N/A	3.00	3.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Implement in COTS - Technical: Project Managers	N/A		N/A	N/A	0.38	0.38	0.38	0.38	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Roll-Out COTS to Divisions/Offices: Internal Resources	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Roll-Out COTS to Divisions/Offices: Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Roll-Out COTS to Divisions/Offices: Project Managers	N/A		N/A	N/A	0.13	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Testing and Quality Assurance: Internal Resources	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Option #2: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

			Implement / Support / Upg	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
							1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Resources	DDI Pha	Testing and Quality Assurance: Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Project Managers	N/A		N/A	N/A	0.13	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Internal Resources	N/A		N/A	N/A	2.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Consultants	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Project Managers	N/A		N/A	N/A	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Internal Resources	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Consultants	N/A		N/A	N/A	1.00	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Project Managers	N/A		N/A	N/A	0.13	0.06	0.06	0.06	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Document Management: Internal Resources	N/A		N/A	N/A	0.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Document Management: Consultants	N/A		N/A	N/A	0.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Document Management: Project Managers	N/A		N/A	N/A	0.00	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		CRM: Internal Resources	N/A		N/A	N/A	0.00	1.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		CRM: Consultants	N/A		N/A	N/A	0.00	1.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		CRM: Project Managers	N/A		N/A	N/A	0.00	0.13	0.06	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Internal Resources (Trainers)	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Project Managers	N/A		N/A	N/A	0.13	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	DDI Phase 2	Requirements Gathering and Strategic Planning: Internal Resources	N/A		N/A	N/A	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
		Requirements Gathering and Strategic Planning: Consultants	N/A		N/A	N/A	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
		Requirements Gathering and Strategic Planning: Project Managers	N/A		N/A	N/A	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
		Project Management Office: Internal Resources	N/A		N/A		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
		Project Management Office: Consultants	N/A		N/A		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
		Project Management Office: Project Managers	N/A		N/A		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
		Implement and Test Enhanced Functionality within COTS: Internal R	N/A		N/A	N/A	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
		Implement and Test Enhanced Functionality within COTS: Consultan	N/A		N/A	N/A	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
		Implement and Test Enhanced Functionality within COTS: Project Ma	N/A		N/A	N/A	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
		Roll-Out Enhanced Functionality: Internal Resources	N/A		N/A	N/A	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
		Roll-Out Enhanced Functionality: Consultants	N/A		N/A	N/A	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
		Roll-Out Enhanced Functionality: Project Managers	N/A		N/A	N/A	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
		End User Training (DDI P2): Internal Resources	N/A		N/A	N/A	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
		End User Training (DDI P2): Consultants	N/A		N/A	N/A	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
		End User Training (DDI P2): Project Managers	N/A		N/A	N/A	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
	Upgrades	Upgrade 1 (Minor): Internal Resources	N/A		N/A	N/A	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
		Upgrade 1 (Minor): Consultants	N/A		N/A	N/A	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
		Upgrade 1 (Minor): Project Managers	N/A		N/A	N/A	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
		Upgrade 2 (Major): Internal Resources	N/A		N/A	N/A	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
		Upgrade 2 (Major): Consultants	N/A		N/A	N/A	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
		Upgrade 2 (Major): Project Managers	N/A		N/A	N/A	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
		Upgrade 3 (Minor): Internal Resources	N/A		N/A	N/A	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
		Upgrade 3 (Minor): Consultants	N/A		N/A	N/A	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
		Upgrade 3 (Minor): Project Managers	N/A		N/A	N/A	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
# of Weeks	Pre-DDI	Organizational Change Management: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Consultants	N/A		N/A	N/A	22	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Consultants	N/A		N/A	N/A	22	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Systems & Data Strategy: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Systems & Data Strategy: Consultants	N/A		N/A	N/A	22	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Systems & Data Strategy: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Business Process Re-Engineering: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Business Process Re-Engineering: Consultants	N/A		N/A	N/A	22	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Business Process Re-Engineering: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Procurements: Internal Resources	N/A		N/A	N/A	12	20	0	0	0	0	0	0	0	0	0	0	0	0	0
		Procurements: Consultants	N/A		N/A	N/A	12	20	0	0	0	0	0	0	0	0	0	0	0	0	0
		Procurements: Project Managers	N/A		N/A	N/A	12	20	0	0	0	0	0	0	0	0	0	0	0	0	0
	DDI Phase 1	Project Oversight (IV&V): Internal Resources	N/A		N/A	N/A	13	52	52	49	0	0	0	0	0	0	0	0	0	0	0
		Project Oversight (IV&V): Consultants	N/A		N/A	N/A	52	52	52	49	0	0	0	0	0	0	0	0	0	0	0
		Project Oversight (IV&V): Project Managers	N/A		N/A	N/A	13	52	52	49	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Internal Resources	N/A		N/A	N/A	0	30	52	49	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Consultants	N/A		N/A	N/A	0	30	52	49	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Project Managers	N/A		N/A	N/A	0	30	52	49	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Functional: Internal Resources	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Functional: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Functional: Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Technical: Internal Resources	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Technical: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Technical : Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Roll-Out COTS to Divisions/Offices: Internal Resources	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Roll-Out COTS to Divisions/Offices: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Roll-Out COTS to Divisions/Offices: Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Testing and Quality Assurance: Internal Resources	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Testing and Quality Assurance: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Testing and Quality Assurance: Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Internal Resources	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Internal Resources	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
		Document Management: Internal Resources	N/A		N/A	N/A	0	15	15	0	0	0	0	0	0	0	0	0	0	0	0

Option #2: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Upg	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
DDI Phase 2	Document Management: Consultants	N/A		N/A	N/A	0	15	15	0	0	0	0	0	0	0	0	0	0	0	0
	Document Management: Project Managers	N/A		N/A	N/A	0	15	15	0	0	0	0	0	0	0	0	0	0	0	0
	CRM: Internal Resources	N/A		N/A	N/A	0	20	20	0	0	0	0	0	0	0	0	0	0	0	0
	CRM: Consultants	N/A		N/A	N/A	0	20	20	0	0	0	0	0	0	0	0	0	0	0	0
	CRM: Project Managers	N/A		N/A	N/A	0	20	20	0	0	0	0	0	0	0	0	0	0	0	0
	End User Training: Internal Resources (Trainers)	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
	End User Training: Consultants	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
	End User Training: Project Managers	N/A		N/A	N/A	0	30	52	39	0	0	0	0	0	0	0	0	0	0	0
	Requirements Gathering and Strategic Planning: Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Requirements Gathering and Strategic Planning: Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Requirements Gathering and Strategic Planning: Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Project Management Office: Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Project Management Office: Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Project Management Office: Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Implement and Test Enhanced Functionality within COTS: Internal R	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Implement and Test Enhanced Functionality within COTS: Consultan	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Implement and Test Enhanced Functionality within COTS: Project Ma	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Roll-Out Enhanced Functionality: Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Roll-Out Enhanced Functionality: Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Roll-Out Enhanced Functionality: Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	End User Training (DDI P2): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	End User Training (DDI P2): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	End User Training (DDI P2): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variables: Upgrades	Upgrade 1 (Minor): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 1 (Minor): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 1 (Minor): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 2 (Major): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 2 (Major): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 2 (Major): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 3 (Minor): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 3 (Minor): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Upgrade 3 (Minor): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		N/A																		
Required Purchases	Software Licenses: COTS	Implement - Other		B-2. Software	New	$ -	$ 71,050	$ 504,810	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Software Licenses: Call Centers	Implement - Other		B-2. Software	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Software Licenses: Document Management	Implement - Other		B-2. Software	New	$ -	$ 137,025	$ 139,080	$ 282,333	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Software Licenses: CRM	Implement - Other		B-2. Software	New	$ -	$ 78,155	$ 158,655	$ 483,103	$ 490,350	$ 497,705	$ 505,171	$ 512,748	$ 520,440	$ 528,246	$ 536,170	$ 544,212	$ 552,376	$ 560,661	$ 569,071
	Facilities Space Cost	Implement - Other		D. Plant & Facility -- Costs (including PDC servic	New	$ 70,651.00	$ 295,045.28	$ 269,548.07	$ 218,343.92	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (Employee Time)	Implement - Other		E-1. Training	New	$ -	$ 31,465.00	$ 223,558.83	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Data Cleansing and Migration Tools	Implement - Other		B-2. Software	New	$ -	$ 205,000.00	$ 410,000.00	$ 416,150.00	$ 422,392.25	$ 428,728.13	$ 435,159.06	$ 441,686.44	$ 448,311.74	$ 455,036.41	$ 461,861.96	$ 468,789.89	$ 475,821.74	$ 482,959.06	$ 490,203.45
	Computer Hardware	Implement - Other		B-1. Hardware	New	$ -	$ 300,000	$ 200,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Network Connectivity	Implement - Other		B-2. Software	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Data Center Facilities and Equipment	Implement - Other		C-3. Network / Hosting Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 70,651	$ 1,117,740	$ 1,905,652	$ 1,399,930	$ 912,742	$ 926,433	$ 940,330	$ 954,435	$ 968,751	$ 983,283	$ 998,032	$ 1,013,002	$ 1,028,197	$ 1,043,620	$ 1,059,275
Pre-DDI	Organizational Change Management: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 64,480	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 281,600	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 58,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 64,480	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 140,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 29,250	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 96,720	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 281,600	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 58,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 332,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 58,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 96,720	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 422,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 87,750	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 29,760	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 153,600	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 27,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A		N/A	N/A	$ 404,580	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A		N/A	N/A	$ 234,530	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy	N/A		N/A	N/A	$ 436,820	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A		N/A	N/A	$ 584,740	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering	N/A		N/A	N/A	$ 606,870	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Procurements	N/A		N/A	N/A	$ 210,360	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 2,477,900	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 32,240.00	$ 130,894.40	$ 132,857.82	$ 127,070.84	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 332,800.00	$ 337,792.00	$ 342,858.88	$ 327,924.74	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 59,377.50	$ 60,268.16	$ 57,643.02	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)		$ -	$ 113,274.00	$ 199,286.72	$ 190,606.25	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External		C-5. Other: Non-SI Consulting		$ -	$ 389,760.00	$ 685,717.76	$ 655,849.48	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External		C-5. Other: Non-SI Consulting		$ -	$ 68,512.50	$ 120,536.33	$ 115,286.04	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 151,032.00	$ 265,715.63	$ 202,276.02	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ 779,520.00	$ 1,371,435.52	$ 1,044,005.29	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ 137,025.00	$ 241,072.65	$ 183,516.55	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 113,274.00	$ 199,286.72	$ 151,707.02	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ 584,640.00	$ 1,028,576.64	$ 783,003.97	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ 102,768.75	$ 180,804.49	$ 137,637.42	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 37,758.00	$ 66,428.91	$ 50,569.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ 194,880.00	$ 342,858.88	$ 261,001.32	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ 34,256.25	$ 60,268.16	$ 45,879.14	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Option #2: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Upg	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
DDI P1	Testing and Quality Assurance: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 37,758.00	$ 66,428.91	$ 50,569.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ 194,880.00	$ 342,858.88	$ 261,001.32	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ 34,256.25	$ 60,268.16	$ 45,879.14	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 37,758.00	$ 66,428.91	$ 50,569.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 389,760.00	$ 685,717.76	$ 522,002.64	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 68,512.50	$ 120,536.33	$ 91,758.28	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 75,516.00	$ 132,857.82	$ 101,138.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 97,440.00	$ 171,429.44	$ 130,500.66	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 17,128.13	$ 30,134.08	$ 22,939.57	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Document Management: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 18,879.00	$ 19,162.19	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Document Management: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 97,440.00	$ 98,901.60	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Document Management: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 17,128.13	$ 17,385.05	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 25,172.00	$ 12,774.79	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 129,920.00	$ 65,934.40	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 22,837.50	$ 11,590.03	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Internal Resources (Trainers)	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 75,516.00	$ 132,857.82	$ 101,138.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ 194,880.00	$ 342,858.88	$ 261,001.32	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ 34,256.25	$ 60,268.16	$ 45,879.14	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V)	N/A		N/A	N/A	$ 365,040	$ 528,064	$ 535,985	$ 512,639	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A		N/A	N/A	$ -	$ 571,547	$ 1,005,541	$ 961,742	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional	N/A		N/A	N/A	$ -	$ 1,067,577	$ 1,878,224	$ 1,429,798	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical	N/A		N/A	N/A	$ -	$ 800,683	$ 1,408,668	$ 1,072,348	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices	N/A		N/A	N/A	$ -	$ 266,894	$ 469,556	$ 357,449	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance	N/A		N/A	N/A	$ -	$ 266,894	$ 469,556	$ 357,449	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A		N/A	N/A	$ -	$ 496,031	$ 872,683	$ 664,330	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A		N/A	N/A	$ -	$ 190,084	$ 334,421	$ 254,578	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Document Management	N/A		N/A	N/A	$ -	$ 133,447	$ 135,449	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM	N/A		N/A	N/A	$ -	$ 177,930	$ 90,299	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P1) (Trainers and Consultants)	N/A		N/A	N/A	$ -	$ 304,652	$ 535,985	$ 408,018	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Emergency Response Process Analysis	Implement - External		C-5. Other: Non-SI Consulting	N/A	$ -	$ 290,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Team Training	Implement - Internal		E-1. Training	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 365,040	$ 5,093,802	$ 7,736,366	$ 6,018,352	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
DDI P2	Requirements Gathering and Strategic Planning: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Requirements Gathering and Strategic Planning: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Requirements Gathering and Strategic Planning: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement and Test Enhanced Functionality within COTS: Internal R	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement and Test Enhanced Functionality within COTS: Consultan	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement and Test Enhanced Functionality within COTS: Project M	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out Enhanced Functionality: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out Enhanced Functionality: Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out Enhanced Functionality: Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P2): Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P2): Consultants	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P2): Project Managers	Implement - External		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Requirements Gathering and Strategic Planning	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office					$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement and Test Enhanced Functionality Within COTS	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out Enhanced Functionality	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P2) (Trainers and Consultants)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Upgrades	Upgrade 1 (Minor): Internal Resources	Upgrades		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor): Consultants	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor): Project Managers	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Internal Resources	Upgrades		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Consultants	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Project Managers	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Internal Resources	Upgrades		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Consultants	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Project Managers	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Ongoing System Support	Software Maintenance Fees	Maintain - COTS		B-2. Software	New	$ -	$ 57,246	$ 160,509	$ 153,087	$ 98,070	$ 99,541	$ 101,034	$ 102,550	$ 104,088	$ 105,649	$ 107,234	$ 108,842	$ 110,475	$ 112,132	$ 113,814
	Data Cleansing and Migration Tools Maintenance	Maintain -		B-2. Software	New	$ -	$ 45,045	$ 90,090	$ 91,441	$ 92,813	$ 94,205	$ 95,618	$ 97,053	$ 98,508	$ 99,986	$ 101,486	$ 103,008	$ 104,553	$ 106,121	$ 107,713
	Document Management Maintenance	Maintain -		B-2. Software	New	$ -	$ 80,700	$ 161,400	$ 163,821	$ 166,278	$ 168,772	$ 171,304	$ 173,874	$ 176,482	$ 179,129	$ 181,816	$ 184,543	$ 187,311	$ 190,121	$ 192,973
	COTS Infrastructure Support / Other Expenditures	Maintain - COTS	0.015	C-3. Network / Hosting Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Hardware, Data Center Facilities and Other Equipment Purchases	Maintain - COTS		B-1. Hardware	New	$ -	$ 60,000	$ 40,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Hardware, Data Center Facilities and Other Equipment Maintenance	Maintain - COTS		C-2. Maintenance & Support Services	New	$ -	$ 72,000	$ 48,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Headquarters Support	Maintain -	0.015	A-1.a. State FTEs (Salaries & Benefits)	Existing	$ 1,289,600	$ 1,308,944	$ 1,328,578	$ 1,348,507	$ 1,368,734	$ 1,389,265	$ 1,410,104	$ 1,431,256	$ 1,452,725	$ 1,474,516	$ 1,496,633	$ 1,519,083	$ 1,541,869	$ 1,564,997	$ 1,588,472
	Field Support	Maintain -	0.015	A-1.a. State FTEs (Salaries & Benefits)	Existing	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Infrastructure Support / Other Expenditures	Maintain -	0.015	C-3. Network / Hosting Services	Existing	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	COTS Headquarters Support	Maintain - COTS		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 1,308,944	$ 1,328,578	$ 1,348,507	$ 1,368,734.43	$ 1,389,265	$ 1,410,104	$ 1,431,256	$ 1,452,725	$ 1,474,516	$ 1,496,633	$ 1,519,083	$ 1,541,869	$ 1,564,997	$ 1,588,472
	COTS Field Support	Maintain - COTS		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End-User Training (Employee Time)	Maintain - COTS		E-1. Training	New	$ -	$ 12,586	$ 102,198	$ 103,731	$ 105,287	$ 106,867	$ 108,470	$ 110,097	$ 111,748	$ 113,424	$ 115,126	$ 116,853	$ 118,605	$ 120,384	$ 122,190
	SUBTOTAL					$ 1,289,600	$ 2,945,465	$ 3,259,354	$ 3,209,095	$ 3,199,917	$ 3,247,916	$ 3,296,635	$ 3,346,084	$ 3,396,276	$ 3,447,220	$ 3,498,928	$ 3,551,412	$ 3,604,683	$ 3,658,753	$ 3,713,635
Baselines	Headquarter Support Baseline		0.015			$ 1,289,600	$ 1,308,944	$ 1,328,578	$ 1,348,507	$ 1,368,734	$ 1,389,265	$ 1,410,104	$ 1,431,256	$ 1,452,725	$ 1,474,516	$ 1,496,633	$ 1,519,083	$ 1,541,869	$ 1,564,997	$ 1,588,472
	Field Support Baseline		0.015			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Infrastructure Support / Other Expenditures Baseline		0.015			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL					$ 1,289,600	$ 1,308,944	$ 1,328,578	$ 1,348,507	$ 1,368,734	$ 1,389,265	$ 1,410,104	$ 1,431,256	$ 1,452,725	$ 1,474,516	$ 1,496,633	$ 1,519,083	$ 1,541,869	$ 1,564,997	$ 1,588,472

Option #2: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Upg	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Benefits	Required Staffing Levels	N/A				2337	2383	2431	2480	2529	2580	2632	2684	2738	2793	2848	2905	2964	3023	3083
	Staff Equivalent Efficiencies Gained	N/A		15.00% Efficiencies		0	8	60	60	60	60	60	60	60	60	60	60	60	60	60
	New Staff Required						39	0	0	0	0	0	0	0	0	0	0	0	0	0
	Staffing Cost Avoidance	N/A				$ -	$ 490,854	$ 3,985,734	$ 4,045,520	$ 4,106,203	$ 4,167,796	$ 4,230,313	$ 4,293,768	$ 4,358,175	$ 4,423,547.14	$ 4,489,900	$ 4,557,249	$ 4,625,608	$ 4,694,992	$ 4,765,417
	New System / Enhancement Avoidance						$ 3,114,286	$ 3,114,286	$ 3,114,286	$ 1,557,143										
	SUBTOTAL					$ -	$ 3,605,140	$ 7,100,020	$ 7,159,806	$ 5,663,346	$ 4,167,796	$ 4,230,313	$ 4,293,768	$ 4,358,175	$ 4,423,547	$ 4,489,900	$ 4,557,249	$ 4,625,608	$ 4,694,992	$ 4,765,417

					FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
TOTAL					$ 4,203,191	$ 9,157,007	$ 12,901,372	$ 10,627,377	$ 4,112,660	$ 4,174,350	$ 4,236,965	$ 4,300,519	$ 4,365,027	$ 4,430,502	$ 4,496,960	$ 4,564,414	$ 4,632,881	$ 4,702,374	$ 4,772,909
Cumulative Costs					$ 4,203,191	$ 13,360,198	$ 26,261,571	$ 36,888,948	$ 41,001,608	$ 45,175,957	$ 49,412,922	$ 53,713,441	$ 58,078,468	$ 62,508,971	$ 67,005,931	$ 71,570,345	$ 76,203,226	$ 80,905,599	$ 85,678,509
Implement - Other					$ 70,651	$ 1,117,740	$ 1,905,652	$ 1,399,930	$ 912,742	$ 926,433	$ 940,330	$ 954,435	$ 968,751	$ 983,283	$ 998,032	$ 1,013,002	$ 1,028,197	$ 1,043,620	$ 1,059,275
Implement - External					$ 2,265,100	$ 4,276,971	$ 6,442,280	$ 4,992,709	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Implement - Internal					$ 577,840	$ 816,831	$ 1,294,086	$ 1,025,643	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Implement - Total					$ 2,913,591	$ 6,211,542	$ 9,642,019	$ 7,418,283	$ 912,742	$ 926,433	$ 940,330	$ 954,435	$ 968,751	$ 983,283	$ 998,032	$ 1,013,002	$ 1,028,197	$ 1,043,620	$ 1,059,275
Maintain -					$ 1,289,600	$ 1,434,689	$ 1,580,068	$ 1,603,769	$ 1,627,826	$ 1,652,243	$ 1,677,027	$ 1,702,182	$ 1,727,715	$ 1,753,631	$ 1,779,935	$ 1,806,634	$ 1,833,734	$ 1,861,240	$ 1,889,158
Maintain - COTS					$ -	$ 1,510,776	$ 1,679,286	$ 1,605,325	$ 1,572,092	$ 1,595,673	$ 1,619,608	$ 1,643,902	$ 1,668,561	$ 1,693,589	$ 1,718,993	$ 1,744,778	$ 1,770,950	$ 1,797,514	$ 1,824,477
Maintain - COTS w/ Upgrades					$ -	$ 1,510,776	$ 1,679,286	$ 1,605,325	$ 1,572,092	$ 1,595,673	$ 1,619,608	$ 1,643,902	$ 1,668,561	$ 1,693,589	$ 1,718,993	$ 1,744,778	$ 1,770,950	$ 1,797,514	$ 1,824,477
Upgrades					$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Baseline Expenditures (i.e. Maintain w/ inflation)			0.015		$ 1,289,600	$ 1,308,944	$ 1,328,578	$ 1,348,507	$ 1,368,734	$ 1,389,265	$ 1,410,104	$ 1,431,256	$ 1,452,725	$ 1,474,516	$ 1,496,633	$ 1,519,083	$ 1,541,869	$ 1,564,997	$ 1,588,472
Additional Required Expenditures for Project					$ 2,913,591	$ 7,848,063	$ 11,572,794	$ 9,278,870	$ 2,743,925	$ 2,785,084	$ 2,826,860	$ 2,869,263	$ 2,912,302	$ 2,955,987	$ 3,000,327	$ 3,045,331	$ 3,091,011	$ 3,137,377	$ 3,184,437
					$ 4,203,191	*$ 9,157,007*	*$ 12,901,372*	*$ 10,627,377*	*$ 4,112,660*	*$ 4,174,350*	*$ 4,236,965*	*$ 4,300,519*	*$ 4,365,027*	*$ 4,430,502*	*$ 4,496,960*	*$ 4,564,414*	*$ 4,632,881*	*$ 4,702,374*	*$ 4,772,909*

Annual Implementation Cost	$ 2,335,751	$ 5,394,711	$ 8,347,932	$ 6,392,640
Additional Internal Maintenance and Support Cost	$ -	$ 314,991	$ 499,999	$ 408,350
Annual External Request	$ 2,335,751	$ 5,709,702	$ 8,847,931	$ 6,800,989
Total Ask	$ 23,694,374			

NPV Calculations	@ 3% Cost of Capital				$ 4,080,768	$ 8,631,358	$ 11,806,583	$ 9,442,287	$ 3,547,616	$ 3,495,952	$ 3,445,040	$ 3,394,870	$ 3,345,430	$ 3,296,710	$ 3,248,700	$ 3,201,388	$ 3,154,766	$ 3,108,823	$ 3,063,549
	@ 5% Cost of Capital				$ 4,003,039	$ 8,305,676	$ 11,144,690	$ 8,743,170	$ 3,222,376	$ 3,114,964	$ 3,011,132	$ 2,910,761	$ 2,813,735	$ 2,719,944	$ 2,629,279	$ 2,541,637	$ 2,456,915	$ 2,375,018	$ 2,295,851
	@ 8% Cost of Capital				$ 3,891,844	$ 7,850,658	$ 10,241,525	$ 7,811,440	$ 2,799,007	$ 2,630,548	$ 2,472,228	$ 2,323,437	$ 2,183,600	$ 2,052,180	$ 1,928,669	$ 1,812,592	$ 1,703,501	$ 1,600,975	$ 1,504,620
	@ 10% Cost of Capital				$ 3,821,083	$ 7,567,775	$ 9,692,992	$ 7,258,642	$ 2,553,638	$ 2,356,311	$ 2,174,233	$ 2,006,224	$ 1,851,198	$ 1,708,150	$ 1,576,157	$ 1,454,363	$ 1,341,980	$ 1,238,282	$ 1,142,597
	@ 12% Cost of Capital				$ 3,752,849	$ 7,299,910	$ 9,182,942	$ 6,753,890	$ 2,333,634	$ 2,114,855	$ 1,916,588	$ 1,736,908	$ 1,574,073	$ 1,426,503	$ 1,292,769	$ 1,171,571	$ 1,061,737	$ 962,199	$ 871,993

COTS (Option #2)

Activity	Description / Reference	Year #1 FY 2015-16 Costs & Bgt. Request Internal Costs	Year #1 External Bgt. Request	Year #2 FY 2016-17 Costs & Bgt. Request Internal Costs	Year #2 External Bgt. Request	Year #3 FY 2017-18 Costs & Bgt. Request Internal Costs	Year #3 External Bgt. Request	Year #4 FY 2018-19 Costs & Bgt. Request Internal Costs	Year #4 External Bgt. Request	Four-Year Cumulative Internal Costs	Four-Year Cumulative External Bgt. Request
Non-Recurring Funding											
Implementation Resources		*(Non-Recurring)*		*(Non-Recurring)*		*(Non-Recurring)*		*(Non-Recurring)*		*(Non-Recurring)*	
1. Pre - DDI											
Org. Change Management		64,480	340,100	-	-	-	-	-	-	64,480	340,100
Workforce Transition		64,480	170,050	-	-	-	-	-	-	64,480	170,050
Systems & Data Strategy		96,720	340,100	-	-	-	-	-	-	96,720	340,100
Project Mgt. Office		193,440	391,300	-	-	-	-	-	-	193,440	391,300
Business Process Re-engineering		96,720	510,150	-	-	-	-	-	-	96,720	510,150
DDI Procurements		29,760	180,600	-	-	-	-	-	-	29,760	180,600
		545,600	1,932,300	-	-	-	-	-	-	545,600	1,932,300
2. Design, Development & Implementation											
Project Oversight (IV & V)		32,240	332,800	130,894	397,170	132,858	403,127	127,071	385,568	423,063	1,518,664
PM Office		-	-	113,274	458,273	199,287	806,254	190,606	771,136	503,167	2,035,662
Implement in COTS - Functional		-	-	151,032	916,545	265,716	1,612,508	202,276	1,227,522	619,024	3,756,575
Implement in COTS - Technical		-	-	113,274	687,409	199,287	1,209,381	151,707	920,641	464,268	2,817,431
Roll-out to COTS		-	-	37,758	229,136	66,429	403,127	50,569	306,880	154,756	939,144
Testing & Quality Assurance		-	-	37,758	229,136	66,429	403,127	50,569	306,880	154,756	939,144
Org. Change Management		-	-	37,758	458,273	66,429	806,254	50,569	613,761	154,756	1,878,288
Workforce Transition		-	-	75,516	114,568	132,858	201,564	101,138	153,440	309,512	469,572
Document Management		-	-	18,879	114,568	19,162	116,287	-	-	38,041	230,855
CRM		-	-	25,172	152,758	12,775	77,524	-	-	37,947	230,282
End User Training		-	-	75,516	229,136	132,858	403,127	101,138	306,880	309,512	939,144
Emergengy Response Process Analysis				-	290,000						290,000
		32,240	332,800	816,831	4,276,971	1,294,086	6,442,280	1,025,643	4,992,709	3,168,801	16,044,760
3. Variable Upgrades											
Upgrade 1 (Minor)				-	-	-	-	-	-	-	-
Upgrade 2 (Major)				-	-	-	-	-	-	-	-
Upgrade 3 (Minor)				-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-
4. Required Purchases											
Software Licenses: COTS			-		71,050		504,810		-	-	575,860
Software Licenses: Call Center			-		-		-		-	-	-
Software Licenses: Document Management					137,025		139,080		282,333	-	558,439
Software Licenses: CRM			-		78,155		158,655		483,103	-	719,913
Facilities Space Cost			70,651		295,045		269,548		218,344	-	853,588
End User Training (Employee Time)			-		31,465		223,559		-	-	255,024
Data Cleansing and Migration Tools					205,000		410,000		416,150	-	1,031,150
Computer Hardware			-		300,000		200,000		-	-	500,000
		-	70,651	-	1,117,740	-	1,905,652	-	1,399,930	-	4,493,974
Maintenance Resources (Existing Staff and Support - *Non-recurring*)											
Ongoing System Support			-		-		-		-		-
Software Maintenance Fees			-		57,246		160,509		153,087	-	370,842
Data Cleansing and Migration Tools Maintenance					45,045		90,090		91,441		226,576
Document Management Maintenance					80,700		161,400		163,821		405,921
Hardware, Data Center Facilities and Other Equip. Purch's.			-		60,000		40,000		-	-	100,000
Hardware, Data Center Facilities and Other Equip. Maint.			-		72,000		48,000		-	-	120,000
End-User Training (Employee Time)			-	12,586	-	102,198	-	103,731	-	218,516	-
									-		-
5. Total Internal Maintenance and Support - *Non-Recurring*		-	-	12,586	314,991	102,198	499,999	103,731	408,350	218,516	1,223,340
6. Annual Totals - Internal Costs and Requested Budget (*Non-Recurring*)		577,840	2,335,751	829,417	5,709,702	1,396,285	8,847,931	1,129,374	6,800,989	3,932,916	23,694,374
Cumulative Totals		***577,840***	***2,335,751***	***1,407,257***	***8,045,453***	***2,803,542***	***16,893,384***	***3,932,916***	***23,694,374***		

	Internal Costs	External Bgt. Request	Internal Costs	External Bgt. Request	Internal Costs	External Bgt. Request	Internal Costs	External Bgt. Request	Internal Costs	External Bgt. Request
Recurring Funding										
Maintenance Resources (Existing Staff and Support - *Recurring*)	*(Recurring)*		*(Recurring)*		*(Recurring)*		*(Recurring)*		*(Recurring)*	
Ongoing System Support										
COTS Infrastructure Support / Other Expenditures										
Headquarters Support	1,289,600		1,308,944		1,328,578		1,348,507		5,275,629	
Field Support	-		-		-		-		-	
COTS Headquarters Support			1,308,944		1,328,578		1,348,507		3,986,029	
COTS Field Support			-		-		-		-	
End-User Training (Employee Time)			12,586		102,198		103,731		218,516	
8. Annual Total Internal Maintenance and Support - *Recurring*	1,289,600	-	2,630,474	-	2,759,355	-	2,800,745	-	9,480,174	-
9. Annual Total Internal Costs & Requested Budget Subtotal items: 6. & 8.	1,867,440	2,335,751	3,459,891	5,709,702	4,155,639	8,847,931	3,930,119	6,800,989	13,413,090	23,694,374
Benefits (Cost Savings and Avoidance)										
Staffing Cost Avoidance	-	-	(490,854)	-	(3,985,734)	-	(4,045,520)	-	(8,522,109)	-
New System / Enhancement Avoidance	-	-	(3,114,286)	-	(3,114,286)	-	(1,557,143)	-	(7,785,714)	-
10. Total Benefits: Cost Savings and Avoidance	-	-	(3,605,140)	-	(7,100,020)	-	(5,602,663)	-	(16,307,823)	-
Net Total - Cost of Ownership and Requested Budg Subtotal items: 9. & 10.	1,867,440	2,335,751	(145,248)	5,709,702	(2,944,381)	8,847,931	(1,672,544)	6,800,989	(2,894,733)	23,694,374
Cumulative Totals	***1,867,440***	***2,335,751***	***1,722,192***	***8,045,453***	***(1,222,189)***	***16,893,384***	***(2,894,733)***	***23,694,374***		

FDACS - Recap of Projected Costs for RLMS Integration (Licensing Solution)

COTS (Option #2)

	Activity	Description / Reference	# 1 FY 2015 - 16	# 2 FY 2016 - 17	# 3 FY 2017 - 18	# 4 FY 2018 - 19	# 5 FY 2019 - 20	# 6 FY 2020 - 21	# 7 FY 2021 - 22	Cumulative Seven-Year Totals
	Implementation Resources									
Non-Recurring Funding	**1. Pre - DDI**	In the first year (**Year 1**), Pre-DDI activities are conducted but no actual system design or development occurs. Accordingly, all costs are directly related to internal & external staffing (with the lone exception of facilities costs for existing internal staff).								
	Org. Change Management		340,100	-	-	-	-	-	-	340,100
	Workforce Transition		170,050	-	-	-	-	-	-	170,050
	Systems & Data Strategy		340,100	-	-	-	-	-	-	340,100
	Project Mgt. Office		391,300	-	-	-	-	-	-	391,300
	Business Process Re-engineering		510,150	-	-	-	-	-	-	510,150
	DDI Procurements		180,600	-	-	-	-	-	-	180,600
			1,932,300	-	-	-	-	-	-	1,932,300
	2. Design, Development & Implementation	Beginning in the 2nd year (**Year 2**), actual development and hard costs are incurred for staffing (internal & external) as well as for specific purchases related to licensing, expanded networking, hardware, and employee/end-user training.								
	Project Oversight (IV & V)			397,170	403,127	385,568	-	-	-	1,185,864
	PM Office		-	458,273	806,254	771,136	-	-	-	2,035,662
	Implement in COTS - Functional		-	916,545	1,612,508	1,227,522	-	-	-	3,756,575
	Implement in COTS - Technical		-	687,409	1,209,381	920,641	-	-	-	2,817,431
	Roll-out to COTS		-	229,136	403,127	306,880	-	-	-	939,144
	Testing & Quality Assurance		-	229,136	403,127	306,880	-	-	-	939,144
	Org. Change Management		-	458,273	806,254	613,761	-	-	-	1,878,288
	Workforce Transition		-	114,568	201,564	153,440	-	-	-	469,572
	End User Training		-	229,136	403,127	306,880	-	-	-	939,144
			-	3,719,645	6,248,469	4,992,709	-	-	-	14,960,823
	3. Variable Upgrades	No projected costs have been included for future upgrades, although it is almost certain the new system will require periodic maintenance for such needs.								
	Upgrade 1 (Minor)			-	-	-	-	-	-	-
	Upgrade 2 (Major)			-	-	-	-	-	-	-
	Upgrade 3 (Minor)			-	-	-	-	-	-	-
			-	-	-	-	-	-	-	-
	4. Required Purchases	This section details the **Year 2** (and subsequent) hard costs referenced in the above narrative for *Design, Development & Implementation*.								
	Software Licenses: COTS			71,050	504,810	-	-	-	-	575,860
	Facilities Space Cost		70,651	295,045	269,548	218,344	-	-	-	853,588
	End User Training (Employee Time)			31,465	223,559	-	-	-	-	255,024
	Computer Hardware			300,000	200,000	-	-	-	-	500,000
			70,651	697,560	1,197,917	218,344	-	-	-	2,184,472
	Maintenance Resources (Existing Staff and Support - *Non-recurring*)									
	Ongoing System Support	In the first year **(Year 1)**, the ongoing maintenance costs consists strictly of existing staff and support. Beginning in the 2nd year **(Year 2)**, and as the project ramps up, incremental hard costs are incurred related directly to RLMS implementation.								
	Software Maintenance Fees			9,379	82,360	240,174	321,899	-	-	653,810
	Hardware, Data Center Facilities and Other Equip. Purch's.			60,000	40,000	-	-	-	-	100,000
	Hardware, Data Center Facilities and Other Equip. Maint.			72,000	48,000	-	-	-	-	120,000
	5. Total Internal Maintenance and Support - *Non-Recurring*		-	141,379	170,360	240,174	321,899	-	-	873,810
	6. Annual Totals - Internal Costs and Requested Budget (*Non-Recurring*)		2,002,951	4,558,584	7,616,746	5,451,226	321,899	-	-	19,951,406
	Cumulative Totals		***2,002,951***	***6,561,535***	***14,178,281***	***19,629,508***	***19,951,406***	***19,951,406***	***19,951,406***	
Recurring Funding	**Maintenance Resources (Existing Staff and Support - *Recurring*)**									
	Ongoing System Support	Beginning in **Year #2**, recurring funding will be needed to upgrade the data network connectivity for the offices using the RLMS system. In **Year #6**, the amount for software license maintenance becomes static, based on the absence of new license purchases. Recurring funding should be expanded then to include this amount.								
	Software Maintenance Fees							99,541	101,034	
	COTS Infrastructure Support / Other Expenditures									
	Headquarters Support									
	Field Support									
	Network Connectivity			-	1,700,000	1,700,000	1,700,000	1,700,000	1,700,000	
	COTS Headquarters Support									
	COTS Field Support									
	End-User Training (Employee Time)									
	8. Annual Total Internal Maintenance and Support - *Recurring*		-	-	1,700,000	1,700,000	1,700,000	1,799,541	1,801,034	
	9. Annual Total Requested Budget *(Non-Recurring and Recurring)*		2,002,951	4,558,584	9,316,746	7,151,226	2,021,899	1,799,541	1,801,034	

FDACS - Overview of Projected Costs for RLMS Integration

COTS (Option #2)

	Activity	Notes	Year #1 Fiscal Year 2015-16 Internal	Consult's.	Proj. Mgrs.	Combined	Year #2 Fiscal Year 2016-17 Internal	Consult's.	Proj. Mgrs.	Combined
Implementation Resources										
1.	**Pre - DDI**	In the first year (**Year 1**), Pre-DDI activities are conducted but no actual system design or development occurs. Accordingly, all costs are directly related to internal & external staffing (with the lone exception of facilities costs for existing internal staff).								
	Org. Change Management		193,440	998,400	175,500	1,367,340	-	-	-	-
	Workforce Transition		96,720	499,200	87,750	683,670	-	-	-	-
	Systems & Data Strategy		451,360	2,329,600	409,500	3,190,460	-	-	-	-
	Project Mgt. Office		193,440	998,400	175,500	1,367,340	-	-	-	-
	Business Process Re-engineering		193,440	998,400	175,500	1,367,340	-	-	-	-
	DDI Procurements		193,440	998,400	175,500	1,367,340	-	-	-	-
			1,321,840	6,822,400	1,199,250	9,343,490	-	-	-	-
2.	**Design, Development & Implementation**	Beginning in the 2nd year (**Year 2**), actual development and hard costs are incurred for staffing (internal & external) as well as for specific purchases related to licensing, expanded networking, hardware, and employee/end-user training.								
	Project Oversight (IV & V)						130,894	-	-	130,894
	PM Office						392,683	1,520,064	267,199	2,179,946
	Implement in COTS - Functional						261,789	1,351,168	237,510	1,850,467
	Implement in COTS - Technical						392,683	2,026,752	356,265	2,775,700
	Roll-out to COTS						130,894	675,584	118,755	925,233
	Testing & Quality Assurance						130,894	675,584	118,755	925,233
	Org. Change Management						196,342	1,013,376	178,133	1,387,850
	Workforce Transition						130,894	675,584	118,755	925,233
	End User Training						130,894	675,584	118,755	925,233
							1,897,969	8,613,696	1,514,126	12,025,791
3.	**Variable Upgrades**	No projected costs have been included for future upgrades, although it is almost certain the new system will require periodic maintenance for such needs.								
	Upgrade 1 (Minor)						-	-	-	-
	Upgrade 2 (Major)						-	-	-	-
	Upgrade 3 (Minor)						-	-	-	-
4.	**Required Purchases**	This section details the **Year 2** (and subsequent) hard costs referenced in the above narrative for *Design, Development & Implementation*.								
	Software Licenses: COTS		-			-	46,893			46,893
	Facilities Space Cost		456,191			456,191	416,675			416,675
	End User Training (Employee Time)		-			-	37,758			37,758
	Computer Hardware		-			-	500,000			500,000
	Network Connectivity		-			-	1,700,000			1,700,000
	Data Center Facilities and Equipment		-			-	-			-
			456,191	-	-	456,191	2,701,326	-	-	2,701,326
5.	***Incremental Costs of Production and Implementation***	This line represents the projected incremental costs associated with the initial design, development and ultimate implementation of RLMS.	1,778,031	6,822,400	1,199,250	9,799,681	4,599,295	8,613,696	1,514,126	14,727,117
6.	***Incremental Maintenance Costs of Implementation***	See items **7.-9.** below.	-	-	-	-	244,482	-	-	244,482
	Annual Budget Request (a)	This is derived from the total hard costs of implementation (**line 5.**) plus the incremental costs of *maintenance and internal support* over and above its non-RLMS levels.	1,778,031	6,822,400	1,199,250	9,799,681	4,843,776	8,613,696	1,514,126	14,971,599
Maintenance Resources (Existing Staff and Support)										
7.	**Ongoing System Support**	In the first year **(Year 1)**, the ongoing maintenance costs consists strictly of existing staff and support. Beginning in the 2nd year **(Year 2)**, and as the project ramps up, incremental hard costs are incurred related directly to RLMS implementation.				-				
	Software Maintenance Fees		-			-	9,379			9,379
	COTS Infrastructure Support / Other Expenditures					-	-			-
	Hardware, Data Center Facilities and Other Equip. Purch's.					-	100,000			100,000
	Hardware, Data Center Facilities and Other Equip. Maint.					-	120,000			120,000
	Headquarters Support		3,030,560			3,030,560	2,617,888			2,617,888
	Field Support		7,866,560			7,866,560	7,526,428			7,526,428
	COTS Headquarters Support		-			-	654,472			654,472
	COTS Field Support		-			-	261,789			261,789
	End-User Training (Employee Time)		-			-	15,103			15,103
	Total Costs of Internal Maintenance and Support		10,897,120	-	-	10,897,120	11,305,059	-	-	11,305,059
8.	**Baseline Maintenance Costs (*year one plus inflation*)**	These costs are derived from the existing staff and support. In **Year 1**, these costs are identical irrespective of RLMS. In subsequent years, the baseline costs are adjusted *1.5%* per year for inflation.	(10,897,120)			(10,897,120)	(11,060,577)			(11,060,577)
9.	***Incremental Maintenance Costs of Implementation (b)***	This is the calculated incremental difference between: 1) maintenance costs for the RLMS and 2) the costs of existing staff support, assuming no RLMS implementation. This is added to implementation hard costs to derive the total budget request.	-	-	-	-	244,482	-	-	244,482
10.	***Annual Incremental Cost of Ownership***	This represents the actual cost of development and implementation for all phases of integration, up to and including the ongoing maintenance by internal staff & support.	12,675,151	6,822,400	1,199,250	20,696,801	15,904,353	8,613,696	1,514,126	26,032,175
Benefits (Cost Savings and Avoidance)										
11.	Staffing Cost Avoidance	These are the economies and cost savings generated from the efficiencies achieved via the integration of the RLMS system.	-			-	(589,025)			(589,025)
	New System / Enhancement Avoidance		(3,114,286)			(3,114,286)	(3,114,286)			(3,114,286)
	Total Benefits: Cost Savings and Avoidance		(3,114,286)	-	-	(3,114,286)	(3,703,311)	-	-	(3,703,311)
	Net Total Cost of Ownership	These are the costs of all phases of integration, less the derived benefits.	9,560,865	6,822,400	1,199,250	17,582,515	12,201,043	8,613,696	1,514,126	22,328,865
	Cumulative Net Total Cost of Ownership					***17,582,515***				***39,911,380***

Annual Incremental Budget less Benefits (c)	6,685,395	11,268,288
Cumulative Incremental Budget less Benefits (c)	6,685,395	17,953,683
Cumulative Incremental Cost of Ownership less Benefits (d)	17,582,515	39,911,380

Notes:

(a) The annual budget request is derived from: 1) the costs of actual production and implementation, and 2) the incremental cost of internal staff & support for ongoing maintenance.

(b) The incremental maintenance is the cost of internal staff & support above and beyond their existing cost, aka the 'baseline costs'. The baseline is then adjusted forward each year by 1.5% for inflation.

(c) The annual & cumulative increments of ***budget less benefits*** are an indication of the return on the (cost) investment. As budgeted funds are expended, benefits accumulate at an accelerating rate until they ultimately exceed the accumulated costs incurred (at about **Year 6**).

(d) The total cost of ownership, which includes the ***baseline maintenance costs*** (which are excluded from the requested budget), reflects the actual costs to the department for integration of the new system. As costs accumulate, benefits accumulate at an accelerating rate until they ultimately exceed the total accumulated costs (at about **Year 11**).

Option #3: COTS Platform RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

			Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
							1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Misc. Variables	Labor Rates	Internal Rate (Weekly)	N/A	0.015	N/A	N/A	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376	$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
		Internal Rate (Weekly) - COTS	N/A	0.015	N/A	N/A	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376	$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
		External Consultant Rate	N/A	0.015	N/A	N/A	$ 6,400	$ 6,496	$ 6,593	$ 6,692	$ 6,793	$ 6,895	$ 6,998	$ 7,103	$ 7,210	$ 7,318	$ 7,427	$ 7,539	$ 7,652	$ 7,767	$ 7,883
		External Management Rate	N/A	0.015	N/A	N/A	$ 9,000	$ 9,135	$ 9,272	$ 9,411	$ 9,552	$ 9,696	$ 9,841	$ 9,989	$ 10,138	$ 10,291	$ 10,445	$ 10,602	$ 10,761	$ 10,922	$ 11,086
	Facilities Rates	Facilities Space: Year One Cost Per Resource	N/A	0.015	N/A	N/A	$ 10,093	$ 10,244	$ 10,398	$ 10,554	$ 10,712	$ 10,873	$ 11,036	$ 11,202	$ 11,370	$ 11,540	$ 11,713	$ 11,889	$ 12,067	$ 12,248	$ 12,432
		Facilities Space: Additional Cost Per Resource (Yr. One)	N/A	0.015	N/A	N/A	$ 4,154	$ 4,216	$ 4,280	$ 4,344	$ 4,409	$ 4,475	$ 4,542	$ 4,610	$ 4,679	$ 4,750	$ 4,821	$ 4,893	$ 4,967	$ 5,041	$ 5,117
		Facilities Space: Cost Per Resource	N/A	0.015	N/A	N/A	$ 5,939	$ 6,028	$ 6,119	$ 6,210	$ 6,303	$ 6,398	$ 6,494	$ 6,591	$ 6,690	$ 6,791	$ 6,892	$ 6,996	$ 7,101	$ 7,207	$ 7,315
		Facilities Space: Internal Resources Cost	N/A	0.015	N/A	N/A	$ 344	$ 349	$ 354	$ 360	$ 365	$ 371	$ 376	$ 382	$ 388	$ 393	$ 399	$ 405	$ 411	$ 417	$ 424
	System Users	COTS System Administrators	N/A		N/A	N/A	0	47	47	47	47	47	47	47	47	47	47	47	47	47	47
		COTS Admin Delta	N/A		N/A	N/A	0	47	0	0	0	0	0	0	0	0	0	0	0	0	0
		COTS System Users	N/A		N/A	N/A	0	60	520	1500	2000	2500	2500	2500	2500	2500	2500	2500	2500	2500	2500
		COTS System Users (NEW)	N/A		N/A	N/A	0	60	460	980	500	500	0	0	0	0	0	0	0	0	0
	System Support	Headquarters Support	N/A		N/A	N/A	47	40	20	10	7	0	0	0	0	0	0	0	0	0	0
		Field Support	N/A		N/A	N/A	122	115	75	25	10	0	0	0	0	0	0	0	0	0	0
		Total Support Resources - Existing Systems	N/A		A-1.b. State FTEs (#	Existing	169	155	95	35	17	0	0	0	0	0	0	0	0	0	0
		COTS Headquarters Support	N/A		N/A	New	0	10	47	97	112	129	129	129	129	129	129	129	129	129	129
		COTS Field Support	N/A		N/A	New	0	4	27	37	40	40	40	40	40	40	40	40	40	40	40
		Total Support Resources - COTS	N/A		A-1.b. State FTEs (#	New	0	14	74	134	152	169	169	169	169	169	169	169	169	169	169
	Project Team	Internal Project Team (Person Years)	N/A		N/A	N/A	22	29	29	28	28	2	0	0	0	0	0	0	0	0	0
		External Project Team (Person Years)	N/A		N/A	N/A	22	25	25	24	24	2	0	0	0	0	0	0	0	0	0
		External Project Managers (Person Years)	N/A		N/A	N/A	3	3	3	3	3	0	0	0	0	0	0	0	0	0	0
		Total Implementation Effort (Person Years)	N/A		N/A	N/A	47	57	57	55	55	4	0	0	0	0	0	0	0	0	0
	Training	Technical Training Class Cost	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Technical Classes Per Project Team Member Per Year	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Weeks of Training Per Non-Technical User Per Year	N/A		N/A	N/A	0.0	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
		Weeks of Training Per Non-Technical User Per Year (NEW)	N/A		N/A	N/A	0	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5
	Software Licenses	Average User License: COTS	N/A	0.015	N/A	N/A	1500	1523	1545	1569	1592	1616	1640	1665	1690	1715	1741	1767	1793	1820	1848
		Total Software License Fees	N/A		N/A	N/A	$ -	$ 91,350	$ 802,205	$ 2,339,352	$ 3,135,375	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338	$ 3,943,338
Resources	Pre-DDI	Organizational Change Management: Internal Resources	N/A		N/A	N/A	3.00	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
		Organizational Change Management: Consultants	N/A		N/A	N/A	3.00	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
		Organizational Change Management: Project Managers	N/A		N/A	N/A	0.38	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
		Workforce Transition: Internal Resources	N/A		N/A	N/A	3.00	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
		Workforce Transition: Consultants	N/A		N/A	N/A	3.00	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
		Workforce Transition: Project Managers	N/A		N/A	N/A	0.38	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
		Systems & Data Strategy: Internal Resources	N/A		N/A	N/A	7.00	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
		Systems & Data Strategy: Consultants	N/A		N/A	N/A	7.00	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
		Systems & Data Strategy: Project Managers	N/A		N/A	N/A	0.88	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
		Project Management Office: Internal Resources	N/A		N/A	N/A	3.00	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
		Project Management Office: Consultants	N/A		N/A	N/A	3.00	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
		Project Management Office: Project Managers	N/A		N/A	N/A	0.38	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
		Business Process Re-Engineering: Internal Resources	N/A		N/A	N/A	6.00	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
		Business Process Re-Engineering: Consultants	N/A		N/A	N/A	6.00	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
		Business Process Re-Engineering: Project Managers	N/A		N/A	N/A	0.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Procurements: Internal Resources	N/A		N/A	N/A	3.00	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
		Procurements: Consultants	N/A		N/A	N/A	3.00	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
		Procurements: Project Managers	N/A		N/A	N/A	0.38	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
	DDI Phase 1	Project Oversight (IV&V): Internal Resources	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Oversight (IV&V): Consultants	N/A		N/A	N/A	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
		Project Oversight (IV&V): Project Managers	N/A		N/A	N/A	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
		Project Management Office: Internal Resources	N/A		N/A	N/A	0.00	6.00	6.00	6.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Management Office: Consultants	N/A		N/A	N/A	0.00	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Management Office: Project Managers	N/A		N/A	N/A	0.00	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Functional: Internal Resources	N/A		N/A	N/A	0.00	6.00	6.00	6.00	6.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Functional: Consultants	N/A		N/A	N/A	0.00	6.00	6.00	6.00	6.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Functional: Project Managers	N/A		N/A	N/A	0.00	0.75	0.75	0.75	0.75	0.38	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Technical: Internal Resources	N/A		N/A	N/A	0.00	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Technical: Consultants	N/A		N/A	N/A	0.00	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Technical: Project Managers	N/A		N/A	N/A	0.00	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Roll-Out COTS to Divisions/Offices: Internal Resources	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Roll-Out COTS to Divisions/Offices: Consultants	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Roll-Out COTS to Divisions/Offices: Project Managers	N/A		N/A	N/A	0.00	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Internal Resources	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Consultants	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Project Managers	N/A		N/A	N/A	0.00	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Internal Resources	N/A		N/A	N/A	0.00	3.00	3.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Consultants	N/A		N/A	N/A	0.00	3.00	3.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Project Managers	N/A		N/A	N/A	0.00	0.38	0.38	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Internal Resources	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Consultants	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Project Managers	N/A		N/A	N/A	0.00	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Internal Resources (Trainers)	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Consultants	N/A		N/A	N/A	0.00	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Project Managers	N/A		N/A	N/A	0.00	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Upgrades	Upgrade 1 (Minor): Internal Resources	N/A		N/A	N/A	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
		Upgrade 1 (Minor): Consultants	N/A		N/A	N/A	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
		Upgrade 1 (Minor): Project Managers	N/A		N/A	N/A	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
		Upgrade 2 (Major): Internal Resources	N/A		N/A	N/A	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
		Upgrade 2 (Major): Consultants	N/A		N/A	N/A	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
		Upgrade 2 (Major): Project Managers	N/A		N/A	N/A	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

Option #3: COTS Platform RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

			Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
							1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
# of Weeks		Upgrade 3 (Minor): Internal Resources	N/A		N/A	N/A	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
# of Weeks		Upgrade 3 (Minor): Consultants	N/A		N/A	N/A	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
# of Weeks		Upgrade 3 (Minor): Project Managers	N/A		N/A	N/A	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
# of Weeks	Pre-DDI	Organizational Change Management: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Organizational Change Management: Consultants	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Organizational Change Management: Project Managers	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Workforce Transition: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Workforce Transition: Consultants	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Workforce Transition: Project Managers	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Systems & Data Strategy: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Systems & Data Strategy: Consultants	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Systems & Data Strategy: Project Managers	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Project Management Office: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Project Management Office: Consultants	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Project Management Office: Project Managers	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Business Process Re-Engineering: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Business Process Re-Engineering: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Business Process Re-Engineering: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Procurements: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Procurements: Consultants	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Pre-DDI	Procurements: Project Managers	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Project Oversight (IV&V): Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Project Oversight (IV&V): Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Project Oversight (IV&V): Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Project Management Office: Internal Resources	N/A		N/A		0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Project Management Office: Consultants	N/A		N/A		0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Project Management Office: Project Managers	N/A		N/A		0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Implement in COTS - Functional: Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Implement in COTS - Functional: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Implement in COTS - Functional: Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Implement in COTS - Technical: Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Implement in COTS - Technical: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Implement in COTS - Technical : Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Roll-Out COTS to Divisions/Offices: Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Roll-Out COTS to Divisions/Offices: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Roll-Out COTS to Divisions/Offices: Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Testing and Quality Assurance: Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Testing and Quality Assurance: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Testing and Quality Assurance: Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Organizational Change Management: Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Organizational Change Management: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Organizational Change Management: Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Workforce Transition: Internal Resources	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Workforce Transition: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	Workforce Transition: Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	End User Training: Internal Resources (Trainers)	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	End User Training: Consultants	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 1	End User Training: Project Managers	N/A		N/A	N/A	0	52	52	52	52	26	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Requirements Gathering and Strategic Planning: Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Requirements Gathering and Strategic Planning: Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Requirements Gathering and Strategic Planning: Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Project Management Office: Internal Resources	N/A		N/A		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Project Management Office: Consultants	N/A		N/A		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Project Management Office: Project Managers	N/A		N/A		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Implement and Test Enhanced Functionality within COTS: Internal Re	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Implement and Test Enhanced Functionality within COTS: Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Implement and Test Enhanced Functionality within COTS: Project Mar	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Roll-Out Enhanced Functionality: Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Roll-Out Enhanced Functionality: Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	Roll-Out Enhanced Functionality: Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	End User Training (DDI P2): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	End User Training (DDI P2): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	DDI Phase 2	End User Training (DDI P2): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 1 (Minor): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 1 (Minor): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 1 (Minor): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 2 (Major): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 2 (Major): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 2 (Major): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 3 (Minor): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 3 (Minor): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
# of Weeks	Variables: Upgrades	Upgrade 3 (Minor): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			N/A																		
Required Purchases		Software Licenses: COTS	Implement - Other		B-2. Software	New	$ -	$ 91,350	$ 710,855	$ 1,537,147	$ 796,023	$ 807,963	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Required Purchases		Facilities Space Cost	Implement - Other	D. Plant & Facility -- Costs (includ		New	$ 481,939.00	$ 395,889.59	$ 359,032.38	$ 351,637.59	$ 356,912.15	$ 22,948.84	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Required Purchases		End User Training (Employee Time)	Implement - Other		E-1. Training	New	$ -	$ 37,758.00	$ 293,820.17	$ 635,354.18	$ 329,022.70	$ 333,958.04	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Required Purchases		Computer Hardware	Implement - Other		B-1. Hardware	New	$ -	$ 500,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Required Purchases		Network Connectivity	Implement - Other		B-2. Software	New	$ -	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000
Required Purchases		Data Center Facilities and Equipment	Implement - Other		C-3. Network / Hosting	New	$ -	$ -						$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Option #3: COTS Platform RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	SUBTOTAL	N/A				$ 481,939	$ 2,724,998	$ 3,063,708	$ 4,224,139	$ 3,181,958	$ 2,864,870	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000	$ 1,700,000
Pre-DDI	Organizational Change Management: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ 998,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ 175,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ 998,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ 175,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ 451,360	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ 2,329,600	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ 409,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ 998,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ 175,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ 998,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ 175,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ 998,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ 175,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A		N/A	N/A	$ 1,367,340	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A		N/A	N/A	$ 1,367,340	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy	N/A		N/A	N/A	$ 3,190,460	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A		N/A	N/A	$ 1,367,340	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering	N/A		N/A	N/A	$ 1,367,340	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Procurements	N/A		N/A	N/A	$ 1,367,340	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 10,027,160	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
DDI P1	Project Oversight (IV&V): Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 130,894.40	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries & Benefits			$ -	$ 392,683.20	$ 398,573.45	$ 404,552.05	$ 410,620.33	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External	C-5. Other: Non-SI Consulting			$ -	$ 1,351,168.00	$ 1,371,435.52	$ 1,392,007.05	$ 1,412,887.16	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External	C-5. Other: Non-SI Consulting			$ -	$ 237,510.00	$ 241,072.65	$ 244,688.74	$ 248,359.07	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 392,683.20	$ 398,573.45	$ 404,552.05	$ 410,620.33	$ 104,194.91	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Consultants	Implement - External	C-1. Consultant Serv		New	$ -	$ 2,026,752.00	$ 2,057,153.28	$ 2,088,010.58	$ 2,119,330.74	$ 537,780.17	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Project Managers	Implement - External	C-1. Consultant Serv		New	$ -	$ 356,265.00	$ 361,608.98	$ 367,033.11	$ 372,538.61	$ 94,531.67	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 261,788.80	$ 265,715.63	$ 269,701.37	$ 273,746.89	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Consultants	Implement - External	C-1. Consultant Serv		New	$ -	$ 1,351,168.00	$ 1,371,435.52	$ 1,392,007.05	$ 1,412,887.16	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Project Managers	Implement - External	C-1. Consultant Serv		New	$ -	$ 237,510.00	$ 241,072.65	$ 244,688.74	$ 248,359.07	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 130,894.40	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Consultants	Implement - External	C-1. Consultant Serv		New	$ -	$ 675,584.00	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Project Managers	Implement - External	C-1. Consultant Serv		New	$ -	$ 118,755.00	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 130,894.40	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Consultants	Implement - External	C-1. Consultant Serv		New	$ -	$ 675,584.00	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Project Managers	Implement - External	C-1. Consultant Serv		New	$ -	$ 118,755.00	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 196,341.60	$ 199,286.72	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ -	$ 1,013,376.00	$ 1,028,576.64	$ 696,003.53	$ 706,443.58	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ -	$ 178,132.50	$ 180,804.49	$ 122,344.37	$ 124,179.54	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 130,894.40	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External	C-5. Other: Non-SI Con		New	$ -	$ 675,584.00	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External	C-5. Other: Non-SI Con		New	$ -	$ 118,755.00	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Internal Resources (Trainers)	Implement - Internal	A-1.a. State FTEs (Salaries		New	$ -	$ 130,894.40	$ 132,857.82	$ 134,850.68	$ 136,873.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Consultants	Implement - External	C-1. Consultant Serv		New	$ -	$ 675,584.00	$ 685,717.76	$ 696,003.53	$ 706,443.58	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Project Managers	Implement - External	C-1. Consultant Serv		New	$ -	$ 118,755.00	$ 120,536.33	$ 122,344.37	$ 124,179.54	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V)	N/A		N/A	N/A	$ -	$ 130,894	$ 132,858	$ 134,851	$ 136,873	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A		N/A	N/A	$ -	$ 1,981,361	$ 2,011,082	$ 2,041,248	$ 2,071,867	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional	N/A		N/A	N/A	$ -	$ 2,775,700	$ 2,817,336	$ 2,859,596	$ 2,902,490	$ 736,507	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical	N/A		N/A	N/A	$ -	$ 1,850,467	$ 1,878,224	$ 1,906,397	$ 1,934,993	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices	N/A		N/A	N/A	$ -	$ 925,233	$ 939,112	$ 953,199	$ 967,497	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance	N/A		N/A	N/A	$ -	$ 925,233	$ 939,112	$ 953,199	$ 967,497	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A		N/A	N/A	$ -	$ 1,387,850	$ 1,408,668	$ 953,199	$ 967,497	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A		N/A	N/A	$ -	$ 925,233	$ 939,112	$ 953,199	$ 967,497	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P1) (Trainers and Consultants)	N/A		N/A	N/A	$ -	$ 925,233	$ 939,112	$ 953,199	$ 967,497	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Team Training	Implement - Internal		E-1. Training	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ -	$ 11,827,206	$ 12,004,614	$ 11,708,084	$ 11,883,706	$ 736,507	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Upgrades	Upgrade 1 (Minor): Internal Resources	Upgrades	A-1.a. State FTEs (Salaries		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor): Consultants	Upgrades	C-1. Consultant Serv		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor): Project Managers	Upgrades	C-1. Consultant Serv		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Internal Resources	Upgrades	A-1.a. State FTEs (Salaries		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Consultants	Upgrades	C-1. Consultant Serv		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Project Managers	Upgrades	C-1. Consultant Serv		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Internal Resources	Upgrades	A-1.a. State FTEs (Salaries		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Consultants	Upgrades	C-1. Consultant Serv		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Project Managers	Upgrades	C-1. Consultant Serv		New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Software Maintenance Fees	Maintain - COTS		B-2. Software	New	$ -	$ 18,270	$ 160,441	$ 467,870	$ 627,075	$ 788,668	$ 788,668	$ 788,668	$ 788,668	$ 788,668	$ 788,668	$ 788,668	$ 788,668	$ 788,668	$ 788,668
	COTS Infrastructure Support / Other Expenditures	Maintain - COTS	0.015	work / Hosting	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Option #3: COTS Platform RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Ongoing System Support	Hardware, Data Center Facilities and Other Equipment Purchases	Maintain - COTS		B-1. Hardware	New	$ -	$ 100,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Hardware, Data Center Facilities and Other Equipment Maintenance	Maintain - COTS		C-2. Maintenance & Suppo	New	$ -	$ 120,000	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Headquarters Support	Maintain -	0.015	e FTEs (Salaries	Existing	$ 3,030,560	$ 2,617,888	$ 1,328,578	$ 674,253	$ 479,057	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Field Support	Maintain -	0.015	e FTEs (Salaries	Existing	$ 7,866,560	$ 7,526,428	$ 4,982,168	$ 1,685,634	$ 684,367	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Infrastructure Support / Other Expenditures	Maintain -	0.015	work / Hosting	Existing		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	COTS Headquarters Support	Maintain - COTS	A-1.a. State FTEs (Salaries		New	$ -	$ 654,472	$ 3,122,159	$ 6,540,258	$ 7,664,913	$ 8,960,762	$ 9,095,174	$ 9,231,601	$ 9,370,075	$ 9,510,626	$ 9,653,286	$ 9,798,085	$ 9,945,056	$ 10,094,232	$ 10,245,646
	COTS Field Support	Maintain - COTS	A-1.a. State FTEs (Salaries		New	$ -	$ 261,789	$ 1,793,581	$ 2,494,738	$ 2,737,469	$ 2,778,531	$ 2,820,209	$ 2,862,512	$ 2,905,450	$ 2,949,031	$ 2,993,267	$ 3,038,166	$ 3,083,738	$ 3,129,994	$ 3,176,944
	End-User Training (Employee Time)	Maintain - COTS		E-1. Training	New	$ -	$ 15,103	$ 132,858	$ 388,992	$ 526,436	$ 667,916	$ 677,935	$ 688,104	$ 698,425	$ 708,902	$ 719,535	$ 730,328	$ 741,283	$ 752,403	$ 763,689
	SUBTOTAL					$ 10,897,120	$ 11,313,950	$ 11,519,784	$ 12,251,746	$ 12,719,317	$ 13,195,877	$ 13,381,985	$ 13,570,885	$ 13,762,618	$ 13,957,227	$ 14,154,756	$ 14,355,247	$ 14,558,746	$ 14,765,297	$ 14,974,946
Baselines	Operational Support Baseline		0.015			$ 3,030,560	$ 3,076,018	$ 3,122,159	$ 3,168,991	$ 3,216,526	$ 3,264,774	$ 3,313,745	$ 3,363,452	$ 3,413,903	$ 3,465,112	$ 3,517,089	$ 3,569,845	$ 3,623,393	$ 3,677,743	$ 3,732,910
	Technical Support Baseline		0.015			$ 7,866,560	$ 7,984,558	$ 8,104,327	$ 8,225,892	$ 8,349,280	$ 8,474,519	$ 8,601,637	$ 8,730,662	$ 8,861,622	$ 8,994,546	$ 9,129,464	$ 9,266,406	$ 9,405,402	$ 9,546,483	$ 9,689,680
	Infrastructure Support / Other Expenditures Baseline		0.015			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL					$ 10,897,120	$ 11,060,577	$ 11,226,485	$ 11,394,883	$ 11,565,806	$ 11,739,293	$ 11,915,382	$ 12,094,113	$ 12,275,525	$ 12,459,658	$ 12,646,553	$ 12,836,251	$ 13,028,795	$ 13,224,227	$ 13,422,590

Option #3: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

			Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
							1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Misc. Variables	Labor Rates	Internal Rate (Weekly)	N/A	0.015	N/A	N/A	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376	$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
		Internal Rate (Weekly) - COTS	N/A	0.015	N/A	N/A	$ 1,240	$ 1,259	$ 1,277	$ 1,297	$ 1,316	$ 1,336	$ 1,356	$ 1,376	$ 1,397	$ 1,418	$ 1,439	$ 1,461	$ 1,483	$ 1,505	$ 1,527
		External Consultant Rate	N/A	0.015	N/A	N/A	$ 6,400	$ 6,496	$ 6,593	$ 6,692	$ 6,793	$ 6,895	$ 6,998	$ 7,103	$ 7,210	$ 7,318	$ 7,427	$ 7,539	$ 7,652	$ 7,767	$ 7,883
		External Management Rate	N/A	0.015	N/A	N/A	$ 9,000	$ 9,135	$ 9,272	$ 9,411	$ 9,552	$ 9,696	$ 9,841	$ 9,989	$ 10,138	$ 10,291	$ 10,445	$ 10,602	$ 10,761	$ 10,922	$ 11,086
	Facilities Rates	Facilities Space: Year One Cost Per Resource	N/A	0.015	N/A	N/A	$ 10,093	$ 10,244	$ 10,398	$ 10,554	$ 10,712	$ 10,873	$ 11,036	$ 11,202	$ 11,370	$ 11,540	$ 11,713	$ 11,889	$ 12,067	$ 12,248	$ 12,432
		Facilities Space: Additional Cost Per Resource (Yr. One)	N/A	0.015	N/A	N/A	$ 4,154	$ 4,216	$ 4,280	$ 4,344	$ 4,409	$ 4,475	$ 4,542	$ 4,610	$ 4,679	$ 4,750	$ 4,821	$ 4,893	$ 4,967	$ 5,041	$ 5,117
		Facilities Space: Cost Per Resource	N/A	0.015	N/A	N/A	$ 5,939	$ 6,028	$ 6,119	$ 6,210	$ 6,303	$ 6,398	$ 6,494	$ 6,591	$ 6,690	$ 6,791	$ 6,892	$ 6,996	$ 7,101	$ 7,207	$ 7,315
		Facilities Space: Internal Resources Cost	N/A	0.015	N/A	N/A	$ 344	$ 349	$ 354	$ 360	$ 365	$ 371	$ 376	$ 382	$ 388	$ 393	$ 399	$ 405	$ 411	$ 417	$ 424
	System Users	COTS System Administrators	N/A		N/A	N/A	0	47	47	47	47	47	47	47	47	47	47	47	47	47	47
		COTS Admin Delta	N/A		N/A	N/A	0	47	0	0	0	0	0	0	0	0	0	0	0	0	0
		COTS System Users	N/A		N/A	N/A	0	280	500	500	500	500	500	500	500	500	500	500	500	500	500
		Call Center Users	N/A		N/A	N/A	0	20	40	40	40	40	40	40	40	40	40	40	40	40	40
		CRM Users	N/A																		
		COTS System Users (NEW)	N/A		N/A	N/A	0	280	220	0	0	0	0	0	0	0	0	0	0	0	0
		Call Center Users (NEW)	N/A		N/A	N/A	0	20	20	0	0	0	0	0	0	0	0	0	0	0	0
		CRM Users (NEW)	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	System Support	Headquarters Support	N/A		N/A	N/A	47	40	20	10	7	0	0	0	0	0	0	0	0	0	0
		Field Support	N/A		N/A	N/A	122	115	75	25	10	0	0	0	0	0	0	0	0	0	0
		Total Support Resources - Existing Systems	N/A		A-1.b. State FTEs (# FTEs)	Existing	169	155	95	35	17	0	0	0	0	0	0	0	0	0	0
		COTS Headquarters Support	N/A		N/A	New	0	10	47	97	112	129	129	129	129	129	129	129	129	129	129
		COTS Field Support	N/A		N/A	New	0	4	27	37	40	40	40	40	40	40	40	40	40	40	40
		Total Support Resources - COTS	N/A		A-1.b. State FTEs (# FTEs)	New	0	14	74	134	152	169	169	169	169	169	169	169	169	169	169
	Project Team	Internal Project Team (Person Years)	N/A		N/A	N/A	14	19	19	5	0	0	0	0	0	0	0	0	0	0	0
		External Project Team (Person Years)	N/A		N/A	N/A	10	15	15	4	0	0	0	0	0	0	0	0	0	0	0
		External Project Managers (Person Years)	N/A		N/A	N/A	1	2	2	0	0	0	0	0	0	0	0	0	0	0	0
		Total Implementation Effort (Person Years)	N/A		N/A	N/A	25	36	36	9	0	0	0	0	0	0	0	0	0	0	0
	Staff Planning	Total Internal Resources (Roles)	N/A		N/A		39	23	23	23	4	4	4	4	4	4	4	4	4	4	4
		Project Team Members Borrowed From Existing Staff	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Total OPS Resources	N/A		A-2.b. OPS FTEs (# FTEs)	New	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Additional Person Years Required	N/A		A-1.b. State FTEs (# FTEs)	New	14	33	93	139	152	169	169	169	169	169	169	169	169	169	169
		Baseline Support Team Effort (Person Years)	N/A		N/A	N/A	169	169	169	169	169	169	169	169	169	169	169	169	169	169	169
		Total Support Team Effort (Person Years)	N/A		N/A	N/A	169	169	169	169	169	169	169	169	169	169	169	169	169	169	169
		Support Delta	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Support Delta (New Employees)	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Internal (Not Borrowed)	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Internal (Not Borrowed) - New	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		External Total	N/A		N/A	N/A	11	17	17	4	0	0	0	0	0	0	0	0	0	0	0
		External Total - New	N/A		N/A	N/A	11	6	0	0	0	0	0	0	0	0	0	0	0	0	0
	Training	Technical Training Class Cost	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Technical Classes Per Project Team Member Per Year	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Weeks of Training Per Non-Technical User Per Year	N/A		N/A	N/A	0.0	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
		Weeks of Training Per Non-Technical User Per Year (NEW)	N/A		N/A	N/A	0.0	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5	0.5
	Software Licenses	Average User License: COTS	N/A	0.015	N/A	N/A	1500	1523	1545	1569	1592	1616	1640	1665	1690	1715	1741	1767	1793	1820	1848
		Average User License: Call Center	N/A		N/A	N/A	635	645	654	664	674	684	694	705	715	726	737	748	759	771	782
		Average User License: CRM??	N/A		N/A	N/A		0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Total Software License Fees	N/A		N/A	N/A	$ -	$ 439,191	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249	$ 792,249
Resources	Pre-DDI	Organizational Change Management: Internal Resources	N/A		N/A	N/A	2.00	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
		Organizational Change Management: Consultants	N/A		N/A	N/A	2.00	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
		Organizational Change Management: Project Managers	N/A		N/A	N/A	0.25	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
		Workforce Transition: Internal Resources	N/A		N/A	N/A	2.00	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
		Workforce Transition: Consultants	N/A		N/A	N/A	1.00	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
		Workforce Transition: Project Managers	N/A		N/A	N/A	0.13	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
		Systems & Data Strategy: Internal Resources	N/A		N/A	N/A	3.00	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
		Systems & Data Strategy: Consultants	N/A		N/A	N/A	2.00	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
		Systems & Data Strategy: Project Managers	N/A		N/A	N/A	0.25	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
		Project Management Office: Internal Resources	N/A		N/A	N/A	3.00	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
		Project Management Office: Consultants	N/A		N/A	N/A	2.00	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
		Project Management Office: Project Managers	N/A		N/A	N/A	0.25	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
		Business Process Re-Engineering: Internal Resources	N/A		N/A	N/A	3.00	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
		Business Process Re-Engineering: Consultants	N/A		N/A	N/A	3.00	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
		Business Process Re-Engineering: Project Managers	N/A		N/A	N/A	0.38	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
		Procurements: Internal Resources	N/A		N/A	N/A	2.00	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
		Procurements: Consultants	N/A		N/A	N/A	2.00	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
		Procurements: Project Managers	N/A		N/A	N/A	0.25	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
	DDI Phase 1	Project Oversight (IV&V): Internal Resources	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Oversight (IV&V): Consultants (added at request)	N/A		N/A	N/A	0.00	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Oversight (IV&V): Project Managers	N/A		N/A	N/A	0.00	0.06	0.06	0.06	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Management Office: Internal Resources	N/A		N/A	N/A	3.00	3.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Management Office: Consultants	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Project Management Office: Project Managers	N/A		N/A	N/A	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Functional: Internal Resources	N/A		N/A	N/A	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Functional: Consultants	N/A		N/A	N/A	4.00	4.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Functional: Project Managers	N/A		N/A	N/A	0.50	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Technical: Internal Resources	N/A		N/A	N/A	3.00	3.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Technical: Consultants	N/A		N/A	N/A	3.00	3.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Implement in COTS - Technical: Project Managers	N/A		N/A	N/A	0.38	0.38	0.38	0.38	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Roll-Out COTS to Divisions/Offices: Internal Resources	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Roll-Out COTS to Divisions/Offices: Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Roll-Out COTS to Divisions/Offices: Project Managers	N/A		N/A	N/A	0.13	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Internal Resources	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Testing and Quality Assurance: Project Managers	N/A		N/A	N/A	0.13	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Internal Resources	N/A		N/A	N/A	2.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Option #3: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
# of Weeks	Upgrades	Organizational Change Management: Consultants	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Organizational Change Management: Project Managers	N/A		N/A	N/A	0.25	0.25	0.25	0.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Internal Resources	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Consultants	N/A		N/A	N/A	1.00	0.50	0.50	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Workforce Transition: Project Managers	N/A		N/A	N/A	0.13	0.06	0.06	0.06	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		CRM: Internal Resources	N/A		N/A	N/A															
		CRM: Consultants	N/A		N/A	N/A															
		CRM: Project Managers	N/A		N/A	N/A	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
		End User Training: Internal Resources (Trainers)	N/A		N/A	N/A	2.00	2.00	2.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Consultants	N/A		N/A	N/A	1.00	1.00	1.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		End User Training: Project Managers	N/A		N/A	N/A	0.13	0.13	0.13	0.13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Upgrade 1 (Minor): Internal Resources	N/A		N/A	N/A	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
		Upgrade 1 (Minor): Consultants	N/A		N/A	N/A	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
		Upgrade 1 (Minor): Project Managers	N/A		N/A	N/A	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
		Upgrade 2 (Major): Internal Resources	N/A		N/A	N/A	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
		Upgrade 2 (Major): Consultants	N/A		N/A	N/A	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
		Upgrade 2 (Major): Project Managers	N/A		N/A	N/A	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
		Upgrade 3 (Minor): Internal Resources	N/A		N/A	N/A	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
		Upgrade 3 (Minor): Consultants	N/A		N/A	N/A	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
		Upgrade 3 (Minor): Project Managers	N/A		N/A	N/A	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
	Pre-DDI	Organizational Change Management: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Systems & Data Strategy: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Systems & Data Strategy: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Systems & Data Strategy: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Internal Resources	N/A		N/A	N/A	52	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Consultants	N/A		N/A	N/A	39	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Project Managers	N/A		N/A	N/A	39	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Business Process Re-Engineering: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Business Process Re-Engineering: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Business Process Re-Engineering: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Procurements: Internal Resources	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Procurements: Consultants	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Procurements: Project Managers	N/A		N/A	N/A	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	DDI Phase 1	Project Oversight (IV&V): Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Project Oversight (IV&V): Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Project Oversight (IV&V): Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Project Management Office: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Functional: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Functional: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Functional: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Technical: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Technical: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Implement in COTS - Technical : Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Roll-Out COTS to Divisions/Offices: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Roll-Out COTS to Divisions/Offices: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Roll-Out COTS to Divisions/Offices: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Testing and Quality Assurance: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Testing and Quality Assurance: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Testing and Quality Assurance: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Organizational Change Management: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Internal Resources	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		Workforce Transition: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		CRM: Internal Resources	N/A		N/A	N/A					0	0	0	0	0	0	0	0	0	0	0
		CRM: Consultants	N/A		N/A	N/A					0	0	0	0	0	0	0	0	0	0	0
		CRM: Project Managers	N/A		N/A	N/A					0	0	0	0	0	0	0	0	0	0	0
		End User Training: Internal Resources (Trainers)	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		End User Training: Consultants	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
		End User Training: Project Managers	N/A		N/A	N/A	13	52	52	13	0	0	0	0	0	0	0	0	0	0	0
	Variables: Upgrades	Upgrade 1 (Minor): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 1 (Minor): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 1 (Minor): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 2 (Major): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 2 (Major): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 2 (Major): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 3 (Minor): Internal Resources	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 3 (Minor): Consultants	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Upgrade 3 (Minor): Project Managers	N/A		N/A	N/A	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			N/A																		
quired Purchases		Software Licenses: COTS	Implement - Other		B-2. Software	New	$ -	$ 426,300	$ 339,974	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		Software Licenses: Call Centers (include CRM here or break out?)	Implement - Other		B-2. Software	New	$ -	$ 12,891	$ 13,084	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		Facilities Space Cost	Implement - Other		D. Plant & Facility -- Costs (including PDC services)	New	$ 111,023.00	$ 127,775.31	$ 104,014.61	$ 24,841.14	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		End User Training (Employee Time)	Implement - Other		E-1. Training	New	$ -	$ 176,204.00	$ 140,522.69	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		Computer Hardware	Implement - Other		B-1. Hardware	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		Network Connectivity	Implement - Other		B-2. Software	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Option #3: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Re	Data Center Facilities and Equipment	Implement - Other		C-3. Network / Hosting Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 111,023	$ 743,170	$ 597,595	$ 24,841	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Pre-DDI	Organizational Change Management: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 64,480	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 332,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 58,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 64,480	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 166,400	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 29,250	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 96,720	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 332,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 58,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 193,440	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 499,200	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 87,750	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 96,720	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 499,200	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 87,750	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 64,480	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 332,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	DDI Procurement: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 58,500	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A		N/A	N/A	$ 455,780	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A		N/A	N/A	$ 260,130	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Systems & Data Strategy	N/A		N/A	N/A	$ 488,020	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A		N/A	N/A	$ 780,390	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Business Process Re-Engineering	N/A		N/A	N/A	$ 683,670	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Procurements	N/A		N/A	N/A	$ 455,780	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 3,123,770	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
DDI P1	Project Oversight (IV&V): Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 32,240.00	$ 130,894.40	$ 132,857.82	$ 33,712.67	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 168,896.00	$ 171,429.44	$ 43,500.22	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V): Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ 29,688.75	$ 30,134.08	$ 7,646.52	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)		$ 48,360.00	$ 196,341.60	$ 199,286.72	$ 50,569.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Consultants	Implement - External		C-5. Other: Non-SI Consulting		$ 166,400.00	$ 675,584.00	$ 685,717.76	$ 174,000.88	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office: Project Managers	Implement - External		C-5. Other: Non-SI Consulting		$ 29,250.00	$ 118,755.00	$ 120,536.33	$ 30,586.09	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 64,480.00	$ 261,788.80	$ 265,715.63	$ 67,425.34	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Consultants	Implement - External		C-1. Consultant Services	New	$ 332,800.00	$ 1,351,168.00	$ 1,371,435.52	$ 348,001.76	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional: Project Managers	Implement - External		C-1. Consultant Services	New	$ 58,500.00	$ 237,510.00	$ 241,072.65	$ 61,172.18	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 48,360.00	$ 196,341.60	$ 199,286.72	$ 50,569.01	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Consultants	Implement - External		C-1. Consultant Services	New	$ 249,600.00	$ 1,013,376.00	$ 1,028,576.64	$ 261,001.32	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical: Project Managers	Implement - External		C-1. Consultant Services	New	$ 43,875.00	$ 178,132.50	$ 180,804.49	$ 45,879.14	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 16,120.00	$ 65,447.20	$ 66,428.91	$ 16,856.34	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Consultants	Implement - External		C-1. Consultant Services	New	$ 83,200.00	$ 337,792.00	$ 342,858.88	$ 87,000.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices: Project Managers	Implement - External		C-1. Consultant Services	New	$ 14,625.00	$ 59,377.50	$ 60,268.16	$ 15,293.05	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 16,120.00	$ 65,447.20	$ 66,428.91	$ 16,856.34	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Consultants	Implement - External		C-1. Consultant Services	New	$ 83,200.00	$ 337,792.00	$ 342,858.88	$ 87,000.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance: Project Managers	Implement - External		C-1. Consultant Services	New	$ 14,625.00	$ 59,377.50	$ 60,268.16	$ 15,293.05	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 32,240.00	$ 65,447.20	$ 66,428.91	$ 16,856.34	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 166,400.00	$ 675,584.00	$ 685,717.76	$ 174,000.88	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 29,250.00	$ 118,755.00	$ 120,536.33	$ 30,586.09	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Internal Resources	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 32,240.00	$ 130,894.40	$ 132,857.82	$ 33,712.67	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ 83,200.00	$ 168,896.00	$ 171,429.44	$ 43,500.22	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ 14,625.00	$ 29,688.75	$ 30,134.08	$ 7,646.52	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM: Internal Resources	Implement - External		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM: Consultants	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM: Project Managers	Implement - External		C-5. Other: Non-SI Consulting	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Internal Resources (Trainers)	Implement - Internal		A-1.a. State FTEs (Salaries & Benefits)	New	$ 32,240.00	$ 130,894.40	$ 132,857.82	$ 33,712.67	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Consultants	Implement - External		C-1. Consultant Services	New	$ 83,200.00	$ 337,792.00	$ 342,858.88	$ 87,000.44	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training: Project Managers	Implement - External		C-1. Consultant Services	New	$ 14,625.00	$ 59,377.50	$ 60,268.16	$ 15,293.05	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Oversight (IV&V)	N/A		N/A	N/A	$ 32,240	$ 329,479	$ 334,421	$ 84,859	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Management Office	N/A		N/A	N/A	$ 244,010	$ 990,681	$ 1,005,541	$ 255,156	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Functional	N/A		N/A	N/A	$ 455,780	$ 1,850,467	$ 1,878,224	$ 476,599	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement in COTS - Technical	N/A		N/A	N/A	$ 341,835	$ 1,387,850	$ 1,408,668	$ 357,449	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Roll-Out COTS to Divisions/Offices	N/A		N/A	N/A	$ 113,945	$ 462,617	$ 469,556	$ 119,150	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Testing and Quality Assurance	N/A		N/A	N/A	$ 113,945	$ 462,617	$ 469,556	$ 119,150	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Organizational Change Management	N/A		N/A	N/A	$ 227,890	$ 859,786	$ 872,683	$ 221,443	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Workforce Transition	N/A		N/A	N/A	$ 130,065	$ 329,479	$ 334,421	$ 84,859	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	CRM	N/A		N/A	N/A	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	End User Training (DDI P1) (Trainers and Consultants)	N/A		N/A	N/A	$ 130,065	$ 528,064	$ 535,985	$ 136,006	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Project Team Training	Implement - Internal		E-1. Training	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ 1,789,775	$ 7,201,039	$ 7,309,055	$ 1,854,673	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Upgrades	Upgrade 1 (Minor): Internal Resources	Upgrades		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor): Consultants	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor): Project Managers	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Internal Resources	Upgrades		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Consultants	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major): Project Managers	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Internal Resources	Upgrades		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Consultants	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor): Project Managers	Upgrades		C-1. Consultant Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 1 (Minor)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 2 (Major)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Upgrade 3 (Minor)	N/A		N/A		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL	N/A				$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Software Maintenance Fees	Maintain - COTS		B-2. Software	New	$ -	$ 87,838	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450	$ 158,450
	COTS Infrastructure Support / Other Expenditures	Maintain - COTS	0.015	C-3. Network / Hosting Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Option #3: COTS RLMS

	Internal	External
Inflation Rate	1.5%	1.5%

		Implement / Support / Up	Inflation Rate	4B Cross Walk	Existing / New?	FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
						1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Ongoing System Support	Hardware, Data Center Facilities and Other Equipment Purchases	Maintain - COTS		B-1. Hardware	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Hardware, Data Center Facilities and Other Equipment Maintenance	Maintain - COTS		C-2. Maintenance & Support Services	New	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Headquarters Support	Maintain -	0.015	A-1.a. State FTEs (Salaries & Benefits)	Existing	$ 3,030,560	$ 2,617,888	$ 1,328,578	$ 674,253	$ 479,057	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Field Support	Maintain -	0.015	A-1.a. State FTEs (Salaries & Benefits)	Existing	$ 7,866,560	$ 7,526,428	$ 4,982,168	$ 1,685,634	$ 684,367	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Infrastructure Support / Other Expenditures	Maintain -	0.015	C-3. Network / Hosting Services	Existing	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	COTS Headquarters Support	Maintain - COTS		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 654,472	$ 3,122,159	$ 6,540,258	$ 7,664,913	$ 8,960,762	$ 9,095,174	$ 9,231,601	$ 9,370,075	$ 9,510,626	$ 9,653,286	$ 9,798,085	$ 9,945,056	$ 10,094,232	$ 10,245,646
	COTS Field Support	Maintain - COTS		A-1.a. State FTEs (Salaries & Benefits)	New	$ -	$ 261,789	$ 1,793,581	$ 2,494,738	$ 2,737,469	$ 2,778,531	$ 2,820,209	$ 2,862,512	$ 2,905,450	$ 2,949,031	$ 2,993,267	$ 3,038,166	$ 3,083,738	$ 3,129,994	$ 3,176,944
	End-User Training (Employee Time)	Maintain - COTS		E-1. Training	New	$ -	$ 70,482	$ 127,748	$ 129,664	$ 131,609	$ 133,583	$ 135,587	$ 137,621	$ 139,685	$ 141,780	$ 143,907	$ 146,066	$ 148,257	$ 150,481	$ 152,738
	CRM?	Maintain - COTS			New															
	SUBTOTAL					$ 10,897,120	$ 11,218,897	$ 11,512,683	$ 11,682,997	$ 11,855,865	$ 12,031,326	$ 12,209,419	$ 12,390,184	$ 12,573,660	$ 12,759,888	$ 12,948,909	$ 13,140,766	$ 13,335,501	$ 13,533,157	$ 13,733,777
Baselines	Headquarter Support Baseline		0.015			$ 3,030,560	$ 3,076,018	$ 3,122,159	$ 3,168,991	$ 3,216,526	$ 3,264,774	$ 3,313,745	$ 3,363,452	$ 3,413,903	$ 3,465,112	$ 3,517,089	$ 3,569,845	$ 3,623,393	$ 3,677,743	$ 3,732,910
	Field Support Baseline		0.015			$ 7,866,560	$ 7,984,558	$ 8,104,327	$ 8,225,892	$ 8,349,280	$ 8,474,519	$ 8,601,637	$ 8,730,662	$ 8,861,622	$ 8,994,546	$ 9,129,464	$ 9,266,406	$ 9,405,402	$ 9,546,483	$ 9,689,680
	Infrastructure Support / Other Expenditures Baseline		0.015			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	SUBTOTAL					$ 10,897,120	$ 11,060,577	$ 11,226,485	$ 11,394,883	$ 11,565,806	$ 11,739,293	$ 11,915,382	$ 12,094,113	$ 12,275,525	$ 12,459,658	$ 12,646,553	$ 12,836,251	$ 13,028,795	$ 13,224,227	$ 13,422,590
Benefits	Required Staffing Levels	N/A				2337	2383	2431	2480	2529	2580	2632	2684	2738	2793	2848	2905	2964	3023	3083
	Staff Equivalent Efficiencies Gained	N/A		15.00% Efficiencies		0	42	75	75	75	75	75	75	75	75	75	75	75	75	75
	New Staff Required						5	0	0	0	0	0	0	0	0	0	0	0	0	0
	Staffing Cost Avoidance	N/A				$ -	$ 2,748,782	$ 4,982,168	$ 5,056,901	$ 5,132,754	$ 5,209,745	$ 5,287,892	$ 5,367,210	$ 5,447,718	$ 5,529,433.92	$ 5,612,375	$ 5,696,561	$ 5,782,009	$ 5,868,740	$ 5,956,771
	New System / Enhancement Avoidance																			
	SUBTOTAL					$ -	$ 2,748,782	$ 4,982,168	$ 5,056,901	$ 5,132,754	$ 5,209,745	$ 5,287,892	$ 5,367,210	$ 5,447,718	$ 5,529,434	$ 5,612,375	$ 5,696,561	$ 5,782,009	$ 5,868,740	$ 5,956,771

						FY 15-16	FY 16-17	FY17 -18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	FY 23-24	FY 24-25	FY 25-26	FY 26-27	FY 27-28	FY 28-29	FY 29-30
	TOTAL					$ 15,921,688	$ 19,163,106	$ 19,419,333	$ 13,562,510	$ 11,855,865	$ 12,031,326	$ 12,209,419	$ 12,390,184	$ 12,573,660	$ 12,759,888	$ 12,948,909	$ 13,140,766	$ 13,335,501	$ 13,533,157	$ 13,733,777
	Cumulative Costs					$ 15,921,688	$ 35,084,794	$ 54,504,127	$ 68,066,637	$ 79,922,502	$ 91,953,828	$ 104,163,247	$ 116,553,431	$ 129,127,091	$ 141,886,979	$ 154,835,888	$ 167,976,654	$ 181,312,155	$ 194,845,312	$ 208,579,090
	Implement - Other					$ 111,023	$ 743,170	$ 597,595	$ 24,841	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement - External					$ 4,010,825	$ 5,957,543	$ 6,046,906	$ 1,534,402	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement - Internal					$ 902,720	$ 1,243,497	$ 1,262,149	$ 320,270	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Implement - Total					$ 5,024,568	$ 7,944,209	$ 7,906,650	$ 1,879,514	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Maintain -					$ 10,897,120	$ 10,144,316	$ 6,310,746	$ 2,359,887	$ 1,163,424	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Maintain - COTS					$ -	$ 1,074,581	$ 5,201,937	$ 9,323,110	$ 10,692,441	$ 12,031,326	$ 12,209,419	$ 12,390,184	$ 12,573,660	$ 12,759,888	$ 12,948,909	$ 13,140,766	$ 13,335,501	$ 13,533,157	$ 13,733,777
	Maintain - COTS w/ Upgrades					$ -	$ 1,074,581	$ 5,201,937	$ 9,323,110	$ 10,692,441	$ 12,031,326	$ 12,209,419	$ 12,390,184	$ 12,573,660	$ 12,759,888	$ 12,948,909	$ 13,140,766	$ 13,335,501	$ 13,533,157	$ 13,733,777
	Upgrades					$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Baseline Expenditures (i.e. Maintain w/ inflation)		0.015			$ 10,897,120	$ 11,060,577	$ 11,226,485	$ 11,394,883	$ 11,565,806	$ 11,739,293	$ 11,915,382	$ 12,094,113	$ 12,275,525	$ 12,459,658	$ 12,646,553	$ 12,836,251	$ 13,028,795	$ 13,224,227	$ 13,422,590
	Additional Required Expenditures for Project					$ 5,024,568	$ 8,102,529	$ 8,192,848	$ 2,167,628	$ 290,059	$ 292,033	$ 294,037	$ 296,070	$ 298,135	$ 300,230	$ 302,357	$ 304,515	$ 306,706	$ 308,930	$ 311,187
						$ 15,921,688	*$ 19,163,106*	*$ 19,419,333*	*$ 13,562,510*	*$ 11,855,865*	*$ 12,031,326*	*$ 12,209,419*	*$ 12,390,184*	*$ 12,573,660*	*$ 12,759,888*	*$ 12,948,909*	*$ 13,140,766*	*$ 13,335,501*	*$ 13,533,157*	*$ 13,733,777*
NPV Calculations	@ 3% Cost of Capital					$ 15,457,950	$ 18,063,065	$ 17,771,441	$ 12,050,115	$ 10,226,973	$ 10,076,046	$ 9,927,375	$ 9,780,925	$ 9,636,663	$ 9,494,555	$ 9,354,568	$ 9,216,669	$ 9,080,827	$ 8,947,011	$ 8,815,189
	@ 5% Cost of Capital					$ 15,163,512	$ 17,381,502	$ 16,775,150	$ 11,157,911	$ 9,289,380	$ 8,977,961	$ 8,677,006	$ 8,386,164	$ 8,105,093	$ 7,833,464	$ 7,570,959	$ 7,317,270	$ 7,072,101	$ 6,835,164	$ 6,606,182
	@ 8% Cost of Capital					$ 14,742,304	$ 16,429,274	$ 15,415,693	$ 9,968,850	$ 8,068,902	$ 7,581,776	$ 7,124,079	$ 6,694,031	$ 6,289,960	$ 5,910,297	$ 5,553,565	$ 5,218,379	$ 4,903,436	$ 4,607,513	$ 4,329,459
	@ 10% Cost of Capital					$ 14,474,262	$ 15,837,277	$ 14,590,033	$ 9,263,377	$ 7,361,559	$ 6,791,370	$ 6,265,363	$ 5,780,112	$ 5,332,459	$ 4,919,489	$ 4,538,514	$ 4,187,053	$ 3,862,820	$ 3,563,703	$ 3,287,757
	@ 12% Cost of Capital					$ 14,215,793	$ 15,276,710	$ 13,822,298	$ 8,619,221	$ 6,727,336	$ 6,095,444	$ 5,522,921	$ 5,004,187	$ 4,534,188	$ 4,108,342	$ 3,722,502	$ 3,372,907	$ 3,056,153	$ 2,769,152	$ 2,509,110

Department of Agriculture and Consumer Services – RLMS Project

Benefits Realization Table

The Department has compiled a summary of the estimated intangible benefits from the enterprise, integrated RLMS system. These 20 benefits are provided in the table below. This table expands upon the intangible benefits listed in Appendix C: Chapter 2, Section 4.3.3.2 Intangible Benefits.

#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
1	Inspections will be able to be more tightly targeted to areas of risk	Intangible	• FDACS • Regulated businesses and industries • Public	Having all of the department's regulatory data managed in one system will give inspectors access to information regarding the site from other inspections and programs that may help target their inspection.	This benefit is a part of the efficiencies gained by the department for its inspection activities from this project. While challenging to quantify, being able to better target areas of inspection may reduce the overall amount of inspections needed.	Upon implementation
2	Improved communication, cooperation, and collaboration of regulatory information between FDACS program areas and divisions	Intangible	• FDACS • Regulated businesses	The proposed solution will allow for this information, gathered from individual FDACS inspections, to be available to all FDACS program areas, thereby allowing for coordination of activities across program areas. Implementation	This benefit is a part of the efficiencies gained by the department for its inspection activities from this project. While challenging to quantify, reducing the amount of data that needs to be collected during all inspections will improve the efficiency of inspection.	Upon implementation and during each inspection of a regulated entity and/or site past the initial inspection.

Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
3	Improved program accountability through real-time access to data; increased visibility into how the department performs its regulatory activities	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	Real-time access for the public to more data on how FDACS conducts its regulatory activities will result in added transparency and accountability of the regulatory processes. Real-time access for the public will be enabled by enterprise master data management, and shared access to data and analytics on regulatory data, application of a consistent, standardized flow of actions through the regulatory processes across program areas, and visibility to the individual actions is possible. Consistency in the structure of data across program areas allows for consistent sharing of data. This enables businesses and the public to initiate their own actions to react, resolve or cope with whatever is the	Increased involvement in the accountability process.	Upon completion of the project.
4	Increase visibility into whether a regulated entity and/or site is governed by one or more Best Management Practices	Intangible	• FDACS • Regulated businesses and industries • Public	Cross-divisional collaboration to improve BMP adherence and ease audit efforts.	Enhanced BMP compliance and auditing efforts.	Upon completion of the project

Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
5	Coordinated inspection scheduling to facilitate cross-program tasking where appropriate	Intangible	• FDACS • Regulated businesses	The proposed solution will allow viewing when the next inspection is due for a business and ask, where appropriate, for an inspector going to the site to perform a task outside of their program area.	Anticipated reduction in inspection visits, increased knowledge of department regulatory efforts related to a site.	Upon implementation
6	Increased visibility to department executive management of program area metrics	Intangible	• FDACS	Currently, executive management has to go to each Division to gather information, for instance, on the average number of inspections completed monthly by the FDACS. Having complete and timely information will allow management to make informed decisions.	Reduction in individual division reporting solutions and more time spent on performing analysis.	Upon implementation
7	More comprehensive cross-program area responses to requests for information	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	The proposed solution will allow for this information, gathered from individual FDACS inspections, to be available to all FDACS program areas and public.	Responding with more complete information provided in a timely manner to those requesting information from FDACS.	Upon completion
8	More timely responses to requests for cross-program area information	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	The proposed solution will integrate data across program areas facilitating more rapid responses. Further, the mobile inspection components of the proposed solution will help mitigate lag times as data will be recorded in real-time.	Responding with more complete information provided in a timely manner to those requesting information from FDACS.	Upon completion

Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
9	Increased data quality and accuracy through reduction in duplicate data	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	There is duplication of information for a single regulated business entity in multiple programs areas. The proposed solution will allow for this information, gathered for an individual FDACS regulated entity to be updated and kept correct in a single system and available to all applicable FDACS program areas.	Reduction in the number of duplicate notifications (mail, email, phone calls) being directed to the regulated entities.	Upon implementation
10	Reduced complexity of the department's regulatory system portfolio	Intangible	• FDACS	Through the use of one master regulatory lifecycle management system, the complexity involved in maintaining multiple regulatory systems is removed; the complexity of interfaces between the different regulatory processes is reduced	Time spent by IT staff in maintenance of regulatory systems.	Upon implementation
11	Simplify future development and procurement efforts in the regulatory area	Intangible	• FDACS	Through the use of one master regulatory lifecycle management system and platform standardization the complexity of applications, software and system software will be reduced; the complexity of software and/or system software and/or contractor skill sets is simplified.	Time spent by IT and procurement staff in development/acquisition of regulatory systems.	Upon initiation
12	Improved department anticipation of and response to situations/events	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	Through enterprise master data management and shared access to data, it is possible to utilize analytics on cross program area regulatory data to anticipate or quickly identify situations of concern, pinpoint areas for department response, and model and forecast effective action options; responses can be quickly implemented across the department.	More timely responses to situations/events.	Upon implementation

Benefits Realization Table

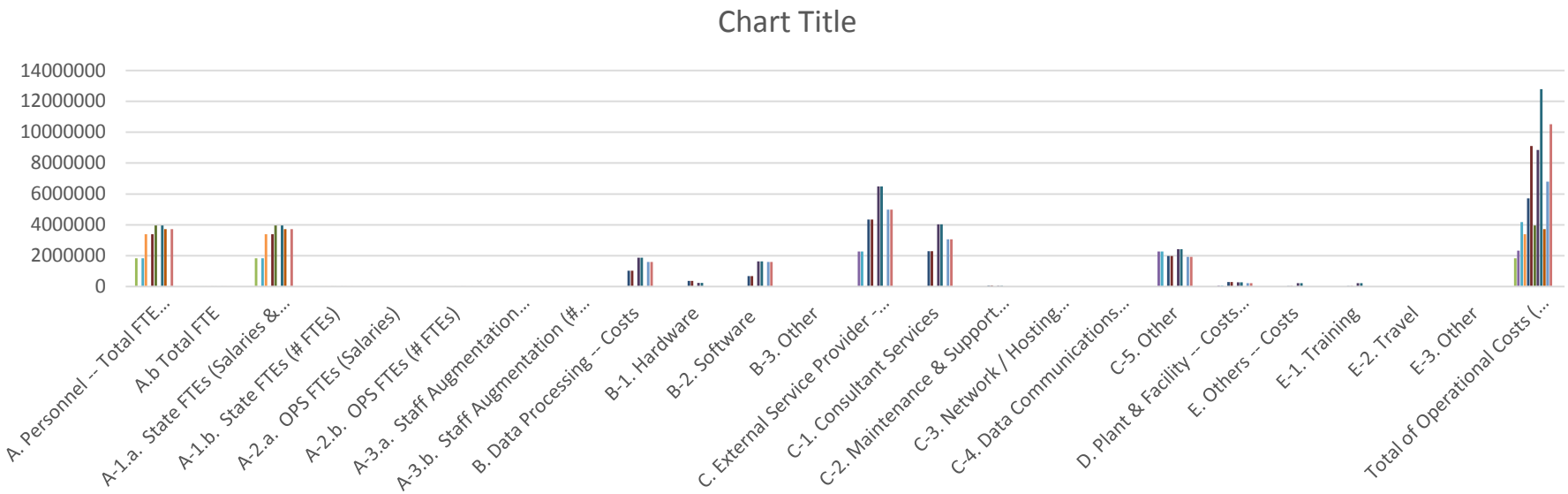
#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
13	Rapid response to changing regulatory requirements	Intangible	• FDACS	Rather than having to develop, or copy-and-adjust, applications and data structures to handle new regulatory programs, an immediate "configure and implement" process within the standard regulatory application framework is possible; where data already exists, it can be shared across program areas.	More timely responses to legislative mandates.	Upon implementation
14	Facilitate custom development for non-RLMS functions	Intangible	• FDACS	Through the use of one master regulatory lifecycle management system, the complexity and number of interfaces required in non-RLMS applications to the RLMS functions and data is reduced; consequently development time and complexity of those applications is reduced.	Reduction in time needed to develop non-RLMS applications needing access to regulatory data.	Upon implementation
15	Increased customer satisfaction with the department	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	By minimizing the number of "touch points" between the initial contact point with the department and the provision of the information needed, customer satisfaction is improved; by reducing the response-time to provide cross-program area regulatory information, customer satisfaction is improved; by increasing the breadth of cross-program area regulatory information that can be quickly provided, customer satisfaction is improved.	Reduction in number of customer complaints regarding the department.	Upon implementation

Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
16	Increased customer and public engagement with the regulatory process	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	Improve ability to track and communicate the progress, timeline, and status of regulatory processes (licensure, inspections, permitting) to the public and regulated entities through increased standardization in capture of regulatory data and improved reporting.	Improved relations between FDACS and regulated entities and the public.	Upon implementation
17	Improved sense of security stemming from enhanced emergency response capabilities	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	Additional communication and data sharing within FDACS during emergency situations; increased speed in configuring systems to manage emergency situations; increased metrics related to emergency situation response available for publication.	Increased data and communication of data within FDACS and to the public during emergency situation response.	Upon implementation
18	Single online payment portal for customers to pay for an authorization, license, renewal, certification, registration, or permit which the Department regulates	Intangible	• Regulated businesses and industries	Minimize and standardize payment points and methods leading to decreased customer frustration stemming from having multiple accounts and increased customer satisfaction through better customer service related to the online payment process.	Decreased online payment accounts required to do business with FDACS; increased online payment interactions with FDACS.	Upon implementation
19	FDACS is internally more responsive to the mission and IT vision as communicated by executive leadership, and will continue to be as leadership changes	Intangible	• FDACS • Legislature	FDACS quickly and effectively internalizes the vision and mission as communicated by executive leadership.	FDACS regulatory systems are aligned with the department's IT Strategic Plan.	Upon implementation

Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Who receives the benefit	How is the benefit realized	How will the realization of the benefit be measured	Date realized
20	Empowers the department to achieve its related missions of improved customer service, efficiency of operations, and internal and external accountability.	Intangible	• FDACS • Legislature • Regulated businesses and industries • Public	FDACS realizes increased standardization in capture of regulatory data and improved reporting.	Increased customer satisfaction related to improved online payment portal and decreased touch points with FDACS to gather information and transact business.	Upon implementation



- 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 Program Cost Elements (Operations Only -- No Project Costs)
- 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 Program Cost Elements (Operations Only -- No Project Costs)
- 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 FY 2015-16 (a) Existing Program Costs
- 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 FY 2015-16 (b) Operational Cost Change Costs
- 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 FY 2015-16 (c) = (a)+(b) New Program Costs resulting from Proposed Projec
- 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 FY 2016-17 (a) Existing Program Costs Project
- 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 FY 2016-17 (b) Operational Cost Change Costs Project
- 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 FY 2016-17 (c) = (a) + (b) New Program Costs resulting from Proposed Proj
- 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 FY 2017-18 (a) Existing Program Costs Project

CBAForm 1 - Net Tangible Benefits

Agency FDACS Project RLMS Feasibility Study

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A

Agency (Operations Only -- No Project Costs)	FY 2015-16			FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	$1,835,200	$0	$1,835,200	$3,396,961	$0	$3,396,961	$3,951,243	$0	$3,951,243	$3,722,657	$0	$3,722,657	$0	$0	$0
A.b Total FTE	9.00	0.00	9.00	33.00	0.00	33.00	579.00	0.00	579.00	575.00	0.00	575.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	$1,835,200	$0	$1,835,200	$3,396,961	$0	$3,396,961	$3,951,243	$0	$3,951,243	$3,722,657	$0	$3,722,657	$0	$0	$0
A-1.b. State FTEs (# FTEs)	9.00	0.00	9.00	33.00	0.00	33.00	40.00	0.00	40.00	36.00	0.00	36.00	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	539.00	0.00	539.00	539.00	0.00	539.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	$0	$0	$0	$0	$1,034,221	$1,034,221	$0	$1,864,544	$1,864,544	$0	$1,589,936	$1,589,936	$0	$0	$0
B-1. Hardware	$0	$0	$0	$0	$360,000	$360,000	$0	$240,000	$240,000	$0	$0	$0	$0	$0	$0
B-2. Software	$0	$0	$0	$0	$674,221	$674,221	$0	$1,624,544	$1,624,544	$0	$1,589,936	$1,589,936	$0	$0	$0
B-3. Other Network	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. External Service Provider -- Costs	$0	$2,265,100	$2,265,100	$0	$4,348,971	$4,348,971	$0	$6,490,280	$6,490,280	$0	$4,992,709	$4,992,709	$0	$0	$0
C-1. Consultant Services	$0		$0	$0	$2,291,363	$2,291,363	$0	$4,031,270	$4,031,270	$0	$3,068,805	$3,068,805	$0	$0	$0
C-2. Maintenance & Support Services	$0	$0	$0	$0	$72,000	$72,000	$0	$48,000	$48,000	$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 OCM, BPA, PMO, Systems and Data, etc.	$0	$2,265,100	$2,265,100	$0	$1,985,608	$1,985,608	$0	$2,411,010	$2,411,010	$0	$1,923,904	$1,923,904	$0	$0	$0
D. Plant & Facility -- Costs (including PDC services)	$0	$70,651	$70,651	$0	$295,045	$295,045	$0	$269,548	$269,548	$0	$218,344	$218,344	$0	$0	$0
E. Others -- Costs	$0	$0	$0	$0	$31,465	$31,465	$0	$223,559	$223,559	$0	$0	$0	$0	$0	$0
E-1. Training	$0	$0	$0	$0	$31,465	$31,465	$0	$223,559	$223,559	$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 Facilities Space	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total of Operational Costs (Rows A through E)	$1,835,200	$2,335,751	$4,170,951	$3,396,961	$5,709,702	$9,106,663	$3,951,243	$8,847,931	$12,799,174	$3,722,657	$6,800,989	$10,523,646	$0	$0	$0
F. Additional Tangible Benefits:		$0			$3,605,140			$7,100,020			$7,159,806			$0	
F-1. Staffing Cost Avoidance		$0			$490,854			$3,985,734			$4,045,520			$0	
F-2. System Enhancement Cost Avoidance		$0			$3,114,286			$3,114,286			$3,114,286			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		($2,335,751)			($2,104,562)			($1,747,911)			$358,817			$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	20%
Order of Magnitude	☑	Confidence Level	10%
Placeholder	☐	Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	FDACS	RLMS Feasibility Study			CBAForm 2A Baseline Project Budget															
2	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				FY2015-16			FY2016-17			FY2017-18			FY2018-19			FY2019-20			TOTAL
3				$ -		$ 2,335,751			$ 5,709,702			$ 8,847,931			$ 6,800,989			$ -		$ 23,694,373
4	Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
5	Costs for all state employees working on the project.	FTE	S&B	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	0.00	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	0.00	$ -	$ -	$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	0.00	$ -	$ -	$ -
8	Project management personnel and related deliverables.	Project Management	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	0.00	$ -	$ -	$ -
9	Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	0.00	$ -	$ -	$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	$ -	7.00	$ 2,265,100	$ -	11.00	$ 4,276,971	$ -	18.00	$ 6,442,280	$ -	14.00	$ 4,992,709	$ -	0.00	$ -	$ -	$ 17,977,060
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
12	Hardware purchases not included in Primary Data Center services.	Hardware	OCO	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	$ -		$ 70,651	$ -		$ 1,432,731	$ -		$ 2,405,651	$ -		$ 1,808,280	$ -		$ -	$ -	$ 5,717,313
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
15	All first-time training costs associated with the project.	Training	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
16	Include the quote received from the state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	$ -			$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
21		Total		$ -	7.00	$ 2,335,751	$ -	11.00	$ 5,709,702	$ -	18.00	$ 8,847,931	$ -	14.00	$ 6,800,989	$ -	0.00	$ -	$ -	$ 23,694,373

CBAForm 2 - Project Cost Analysis

Agency FDACS

Project RLMS Feasibility Study

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
TOTAL PROJECT COSTS (*)	$2,335,751	$5,709,702	$8,847,931	$6,800,989	$0	$23,694,373
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$2,335,751	$8,045,453	$16,893,384	$23,694,373	$23,694,373	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
General Revenue	$2,335,751	$5,709,702	$8,847,931	$6,800,989	$0	$23,694,373
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$2,335,751	$5,709,702	$8,847,931	$6,800,989	$0	$23,694,373
CUMULATIVE INVESTMENT	$2,335,751	$8,045,453	$16,893,384	$23,694,373	$23,694,373	

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

CBAForm 3 - Project Investment Summary

Agency	FDACS	Project	RLMS Feasibility Study

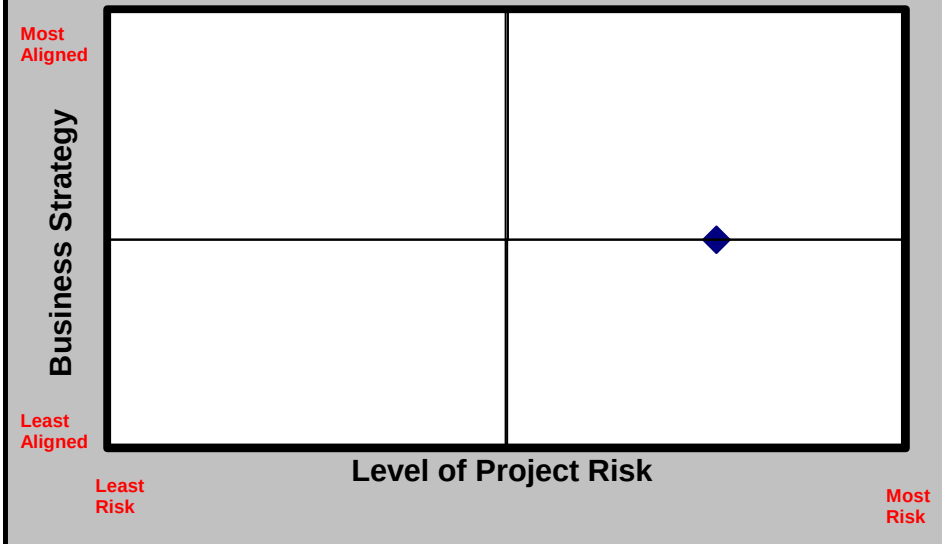
COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL FOR ALL YEARS
Project Cost	$2,335,751	$5,709,702	$8,847,931	$6,800,989	$0	$23,694,373
Net Tangible Benefits	($2,335,751)	($2,104,562)	($1,747,911)	$358,817	$0	($5,829,406)
Return on Investment	($4,671,502)	($7,814,264)	($10,595,842)	($6,442,172)	$0	($29,523,779)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	($27,168,702)	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 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Project	*FDACS RLMS*	
Agency	*Department of Agriculture and Consumer Services*	
FY 2016-17 LBR Issue Code:	**FY 2016-17 LBR Issue Title:**	
Issue Code	*Issue Title*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Name ------ Phone # ------ E-mail address		
Executive Sponsor	*Michael Johnston*	
Project Manager	*Steve Garrison*	
Prepared By	*Douglas Holleman*	*9/10/2015*

Risk Assessment Summary



Project Risk Area Breakdown

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

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

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	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Legislation or proposed rule change is drafted
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Some
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

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 through implementation only
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Some relevant standards have been incorporated into the proposed technology
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Extensive infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are 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: Department of Agriculture and Consumer Services Project: FDACS RLMS

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	Extensive changes to organization structure, staff or business processes
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
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	41% to 80% -- Some process changes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defiined 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	1% to 10% 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	Over 10% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Extensive change or new way of providing/receiving services or information)
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Extensive change or new way of providing/receiving services or information
		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 fewer 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	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Negligible or no feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than $10 M
		Greater than $10 M	
		Between $2 M and $10 M	
		Between $500K and $1,999,999	
		Less than $500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	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	Neither requested nor received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	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	More than 5 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 not been consulted re: procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware and software purchases has not yet been determined
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	No contract manager assigned
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Procurement strategy has not been developed
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Procurement strategy has not been developed
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

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	No, business, functional or technical experts dedicated 50% or less 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	Half of staff from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

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	41 to 80% -- Some have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	41 to 80% -- Some are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	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	41 to 80% -- Some have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
		No	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		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	

Agency: Department of Agriculture and Consumer Services Project: FDACS RLMS

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	More complex
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	More than 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
		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	Lesser 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	Lesser size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

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WORLDWIDE CONSULTING

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

REGULATORY LIFECYCLE MANAGEMENT SYSTEM (RLMS) STUDY PROJECT

Implementation Plan

Date:	09/04/2015
Version:	009

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Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
10/15/2014	Kreig Fields, PMP	001	First draft
11/11/2014	Kreig Fields, PMP	004	Final draft
02/18/2015	Kreig Fields, PMP	008	Division of Licensing and Division of Administration Updates
9/8/2015	Tom Howard	009	Including details on Risk Management, updated schedule

Quality Review

NAME	ROLE	DATE
Steven Smith	North Highland QA	10/16/2014
John Hicks, PMP	North Highland Project Manager	10/21/2014
Scott Rainey, PMP	North Highland Engagement Manager	10/21/2014
Tom Mante	North Highland Project Manager	2/18/2015
Kreig Fields, PMP	North Highland	9/10/2015

IMPLEMENTATION STRATEGY

The Florida Department of Agriculture and Consumer Services (FDACS) is evaluating the utilization of a Regulatory Lifecycle Management System (RLMS) approach to standardize regulation and licensing across thirteen of the Department's twenty-four Divisions and Offices which directly manage regulatory programs. The regulatory application portfolio currently contains more than sixty applications making standardization problematic. A comprehensive implementation strategy is required to effectively achieve the goals of enterprise regulatory management, while minimizing risks and cost. The initial implementation will involve two Divisions which will provide the highest benefits. In the first year, the Division of Licensing implementation will transform the Concealed Weapons Intake System, Licensing Reflections System, Imaging Business and Process Management, and Web-based Fast Track System into a modern COTS based application. The implementation for the Division of Administration will be performed in the second year in order to transform the Agency Clerk, ROC, and EGC applications. Call Center support will also be modernized as part of the implementations.

A Value Realization Action Plan will be used to measure and evaluate the success of the Division of Licensing and Division of Administration transformations. If these implementations are judged to be successful at streamlining processes and reducing costs, this enterprise foundation may be expanded to other applications outlined in the overall RLMS project plan. This section describes the overall strategy for implementing a new enterprise foundation.

One goal of the implementation strategy is to minimize the number and duration of disruptions to each Division/Office. This is achieved through a Division/Office-based implementation strategy which will allow the Department to perform a single roll out of RLMS to each Division/Office instead of engaging each Division/Office multiple times to implement different types of functionality (e.g. regulation functionality vs. licensing). The Division/Office-based implementation also decreases the number of "throw away" interfaces needed to build and maintain when they are working in both the legacy and future state system.

This implementation plan is based on leveraging a Commercial-Off-The Shelf (COTS) enterprise solution (reference the Business Case). From a development standpoint, COTS solutions are implemented differently than custom development implementations. Instead of building a system from the ground up, a COTS solution is configured to specific program area needs based on standard vendor supplied processes and data structures. Workshops are conducted to determine how the vendor solution could be used as a starting point to meet the business needs. Configuration is used to tailor the application to the specific business needs: reports, interfaces, conversions, enhancements, forms, and workflows. The solution is configured using forms or tables (which can be easily maintained by the business user).

The distinction between customization and configuration is very important. Configurations are typically done through changes to profile screens or tables, whereas customizations require changes to the application code. Customizing code has several negative impacts. First, it may

invalidate product warranties. Second, it slows the ability to respond to business changes, especially when compared to a table-based configuration approach. Third, it makes the Department dependent on highly specialized technical vendor resources to maintain the code. Last, customization increases maintenance and upgrade costs and risks. This implementation plan reflects a configuration based approach to developing a COTS enterprise solution.

Often, the key risks to enterprise-wide projects are not technical in nature. These projects can have a dramatic impact on long standing business practices, employee duties, job functions, and roles. Current regulatory activities are driven by individual applications and data (usually at the Division or Office level). **One of the most critical success factors for this project will be the ability of FDACS to change to an enterprise perspective from the current application perspective**. An enterprise solution will not be successful without a willingness of the organization to work as an enterprise. An Organization Change Management (OCM) Strategy is provided in the Appendix to describe the steps needed to drive effective agency participation and transition of the Department into the new enterprise RLMS.

PRE-DESIGN, DEVELOPMENT, AND IMPLEMENTATION (PRE-DDI)

There is a considerable amount of work that can be performed before award and start of this RLMS implementation. This work will be focused on inventorying and organizing the data and procedures which will be included in the Licensing and Administration transformations. The following paragraphs describe the types of activities and work products that are required as part of pre-implementation.

****NOTE – The Pre Design, Development, and Implementation (Pre-DDI) tasks associated with this section are currently in development as an active project.**

BUSINESS PROCESS RE-ENGINEERING

Migrating to a new enterprise RLMS system will require significant changes to business processes within FDACS. A number of preliminary re-engineering steps can be taken now to reduce time and risk during the actual implementation.

- Establish an FDACS workgroup to advise and direct re-engineering activities
- Collect and create current state process maps to document the existence and complexity
- Establish baseline process metrics to provide quantifiable business impact information during implementation
- Develop initial future state processes and metrics based on industry standards for targeted processes

- Perform an initial gap analysis between the current state and expected future state processes; future state use cases and reports can be defined to support the Invitation to Negotiate (ITN) process
- Assess business analytics requirements for the ITN

PROCUREMENT

From a procurement standpoint, the implementation plan, procurement strategy, and scope of work all need to be created. Additionally, the evaluation criteria and tools need to be created to aid in scoring the ITN, and the procurement plan will then need to be created. All of this information will be used to finalize the ITN documents.

The next major set of tasks involve conducting the procurement. This involves evaluation & negotiation, vendor selection, and contract finalization. Eventually this will transition to contract requirement monitoring and project contract close.

PROJECT AND PORTFOLIO MANAGEMENT OFFICE (PPMO)

Implementing enterprise solutions requires careful orchestration by the Project and Portfolio Management Office (PPMO). The Department has already taken the required steps to establish a governance framework. Additionally, a project charter will be required. The PPMO will provide project oversight as needed, facilitate issue resolution, and develop and monitor the detailed project plan and schedule. A program planning framework will be established to support project start-up activities. Project logistics (facilities, system access, administrative support, etc.) and on-boarding procedures will also be required.

Risk assessments and mitigation processes will be defined and tracked throughout the project. The QA process validates that the deliverables contain appropriate information needed by the next team in the development lifecycle (e.g. the functional documentation meets the needs of the development team).

The PPMO will develop the following RLMS deliverables: Project Charter, Project Governance Structure, Project Governance Processes and Escalation, Detailed Project Plan, Risk Assessment, Governance Reporting, and On-boarding Process.

ORGANIZATIONAL CHANGE MANAGEMENT

As mentioned above, transitioning to an enterprise solution from the current Divisional application perspective is critical to the success of this implementation. The transition is accomplished through effective Organizational Change Management (OCM). There are several OCM steps that can be taken before the awarding of the vendor contract to facilitate adoption of the new business solution. The effort begins with an assessment of the change management needs and efforts based on and the Strategy Articulation Map and the Solution Goals. A

stakeholder and organizational impact analysis should be developed and executed to quantify the types and amounts of change management efforts needed. Most importantly, because stakeholders resist what they do not understand, a communication strategy and plan is necessary to inform stakeholders.

WORKFORCE TRANSITION

OCM is used to identify how the organization will need to change, while Workforce Transition describes what has to be done to implement the change (e.g. role-based training). Enterprise systems tend to collapse and streamline business processes. In other cases, business processes will become self-servicing. All of these things impact how the workforce will do their jobs. Role-based skills gaps and mitigation steps need to be identified to facilitate the workforce transition.

SYSTEM AND DATA STRATEGY

Data Cleansing is one of the most time consuming tasks in preparing for an enterprise system implementation. The Department has already begun many of these required efforts. FDACS needs to continue to map essential RLMS related data sources across the various legacy platforms. RLMS-related systems and interfaces will also need to be fully documented. As part of this initiative, a data quality assessment should be performed on the essential Licensing and Administration legacy data. FDACS will also need to determine changes in RLMS system architecture, infrastructure, data structures and any data conversion requirements. Preliminary Master Data Management (MDM), data conversion, migration, and interface strategies should also be created.

HANDOFF FROM PRE-DDI

Activities within pre-implementation are used to create a solid foundation for the implementation. Several of the activities started in pre-ITN will continue throughout the lifecycle of the project. For example:

- Organizational Change Management
- Project Management Office
- Workforce Transition
- Business Process Reengineering

IMPLEMENTATION TIMELINE

There are several standard ways to approach an enterprise solution implementation. Some implementations use a “big bang” approach which builds and rolls out the entire solution as a single implementation. A big bang approach is appropriate for simple, low risk, small scale

projects because it can help streamline schedules and costs. The number of Divisions and Offices involved, the diversity of RLMS data and processes, and the potential risks to business continuity make a big bang approach unacceptable for FDACS' RLMS.

Breaking down the implementation into releases can provide significant risk mitigation. The following implementation plan is based on a "Crawl, Walk, Run" release approach. This approach starts by implementing Licensing and Administration, which demonstrate business value before committing to a broad scale implementation. The focus during Release 1 (Crawl) is validation and refinement of the implementation tasks and deliverables. If sufficient cost-benefits are demonstrated, lessons learned from the first release can be used to plan delivery of a larger scale roll out to two or three Divisions in Release 2 (Walk). In the Walk release, the focus will be on refining and optimizing the project schedule (e.g. load balancing of government and contractor resources). Refinements from the Walk release are then incorporated and used to implement the full-scale implementation for the remaining Divisions in Release 3 (Run).

The following diagrams are used to describe a preliminary, high-level project timeline for the implementation plan's three releases. Any changes to the release schedules should consider potential impacts on financial close activities or major renewal processing cycles. The Release Schedule by Division gives a break out of the release each application will be implemented in.

FDACS RLMS									
Months	1	2	3	4	5	6	7 ★	8	9
Pre-DDI Planning	2015						2016		
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Project Management	9 Months								
OCM & Workforce Transition		8 Months							
System and Data Strategy		8 Months							
Business Process and ReEngineering		8 Months							
Procurement		8 Months							

Exhibit 2: Pre-Design Develop Implement (DDI) Schedule

Release 1 (Licensing) / 18 Months

The following diagram provides a schedule for the first release of the FDACS RLMS project. The Division of Licensing transformation would start in December 2016, go into production in April of 2018, and move into sustainment in July of 2018 (18 months after startup). The arrow shows how the Division of Administration implementation would begin in June of 2017 (6 months after the start of the Division of Licensing project) and would end in November of 2018 (18 months later). With the schedule overlap and interdependencies between the two areas, the development schedules will need to be coordinated when finalizing the detailed implementation plan.

It should be noted an Agile approach would be used to design, develop, and test solution components to quickly prove the effectiveness of project tasks and deliverables while demonstrating business value.

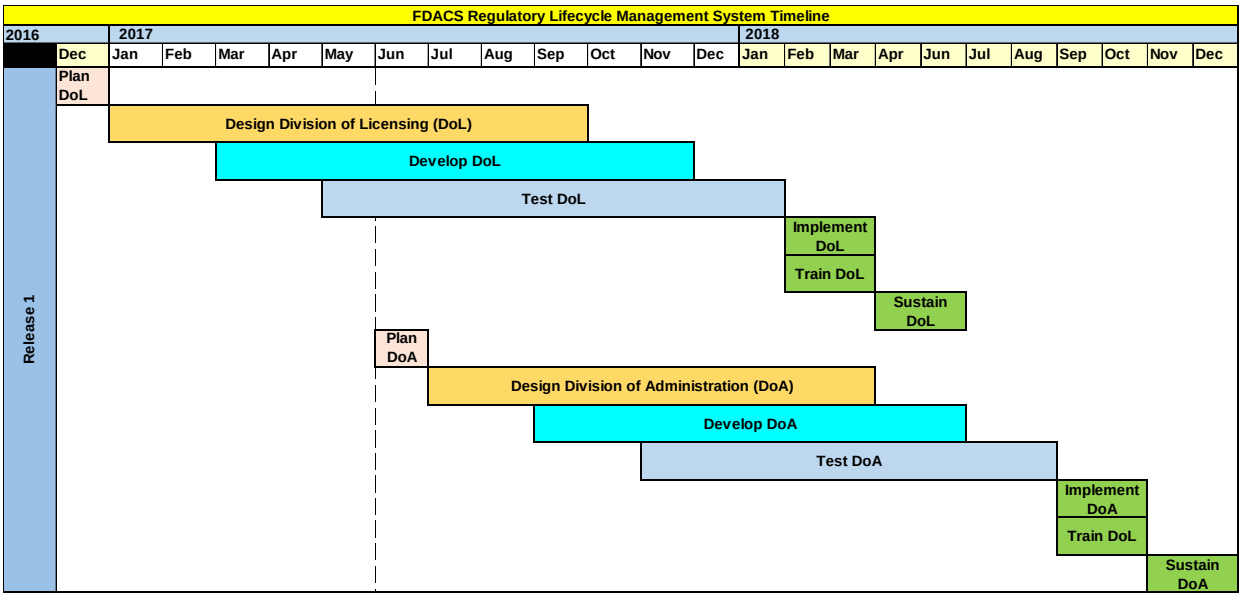

Exhibit 1: Release 1 (Licensing and Administration) Implementation Summary Timeline

Release 2 - Walk / 18 Months

If Release 1 (Divisions of Licensing and Administration) provides sufficient cost-benefit to proceed, the second release will implement RLMS functionality with a couple of "early adopters" that are representative of other Divisions. This is done to validate the scalability of the implementation tasks from the first release. It will also enable FDACS and the system integrator to build team resources through a "train the trainer/facilitate the facilitator" approach. Many enterprise application projects fail due to contention for key project resources. Projects

must be realistic about availability of department resources that may continue to have normal job duties. This release will mitigate this risk by providing an opportunity to establish realistic scheduling of resources, both internal and external.

Release 3 (Run) / 18 months

This release would be used to implement the remaining Divisions and applications. Interfaces to any applications that are not migrated to RLMS would also be built and implemented in this release.

RELEASE SCHEDULE BY DIVISION

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAME
Licensing	Release 1	Early adopter because of architectural significance of business process.	Concealed Weapons Intake System
			Licensing Reflections System
			Imaging Business and Process Management (EDMS)
			Web-based Fast Track System
Administration	Release 1	Interfaces to the Financial systems should be incorporated into early release.	Agency Clerk
			ROC
			EGC
			REV
Agricultural Environmental Services	TBD	Early adopter because of existing enterprise perspective and organizational readiness.	AES Laboratory Information Management System (AES-LIMS)
			Agricultural Environmental Services Suntrack System
			DOI Database
			Aircraft Registration Database
			Compliance DB30 Database
			EIS - AES Image Applications
			Electronic Fumigation Notice Submissions
			Pesticide Applicator Continuing Education Units
			Registration Tracking System
Agricultural Law Enforcement	TBD	No special circumstances for early implementation	ACISS Case Management
			Bill of Lading Scanning System
			Commerce Transport Imaging System
			Tag Recognition System

Division	Schedule for Release	Release Considerations	Application Name
Agriculture Water Policy	TBD	No special circumstances for early implementation	Best Management Practices Tracking System (BMPTS; voluntary participation)
Animal Industry	TBD	No special circumstances for early implementation	Animal Industry Florida Poultry Database
			Animal Industry Laboratory Information Management System
			Daily Activity Report
			Garbage Feeders Database
			Master Brand Record
			Master Cervidae Herd Plan/Permits
			Master Equine Extension
Aquaculture	TBD	Early adopter because of readiness for enterprise solution	Aquacore Information System
			Aquaculture Certification Program
			Aquaculture Lease Database
			Apalachicola Bay Oyster Harvesting License
			Shellfish Shippers Database
Consumer Services	TBD	Extensive functionality and risk may push this back to later release	LIMS--Anti-freeze and Brake fluid
			Metrology (metered devices)
			DOCS--Business Opportunities Franchises
			DOCS--Continuing Education Provider
			DOCS--Do Not Call List
			DOCS--Game Promotion
			DOCS--Health Studios
			DOCS-Intrastate Movers
			DOCS--Mediation and Enforcement
			DOCS (and Access)--Meter Mechanics
			DOCS--Motor Vehicle Repair
			DOCS--Pawnshops
			DOCS--Petroleum (wholesale and retail)
			DOCS--Professional Surveyors and Mappers

Division	Schedule for Release	Release Considerations	Application Name
			DOCS--Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail)
			DOCS--Sellers of Travel
			DOCS-Solicitation of Contributions
			DOCS--Telemarketing
			DOCS--Weights and Measure Permitting System (permitting)
			Fair Ride Database
			LP Gas
Florida Forest Service	TBD	No special circumstances for early implementation. Primary focus on interfacing to enterprise data model	Florida Fire Management Information System
Food Safety	TBD	Pushed back to later release because of existing custom solution project	Document Control and Training Tracking
			Food Inspection Management System (FIMS)
			Food Safety Laboratory Information Management (FSLIMS)
			Regulatory Information Management System (Dairy)
Fruit and Vegetables	TBD	Part of earlier Release in order to harvest lessons learned from previous ERP implementation	Mobile Inspection Program (Tomatoes)
	TBD	Remaining applications are implemented in later Release. No special circumstances for early implementation	Brix Acid Unit System
			CitraNet
			EQIP
			FreshNet
			Fruit and Vegetable System--Processors, Growers, Haulers
			Fruit and Vegetable System--Citrus Dealers
			Fruit and Vegetables System--Growers, handlers, packers, shippers

Division	Schedule for Release	Release Considerations	APPLICATION NAME
			Fruit and Vegetables--Growers, handlers, packers, shippers (Accounts receivable)
			Fruit and Vegetables-- Growers, handlers, packers, shippers (Fiscal)
			Fruit and Vegetables--Growers, handlers, packers, shippers (Inspection and personnel)
			Fruit and Vegetables--Growers, handlers, packers, shippers of fresh citrus (Statistics)
			Shell Stock, MicroMation (Peanuts)
			Licensing Reflections System
			Imaging Business and Process Management (EDMS)
			Web-based Fast Track System
Marketing and Development	TBD	Manual low risk process with existing "to-be" documentation. Also public facing. Quick win	License and Bond System
Plant Industry	TBD	Initially, Plant industry would be pulled into the implementation to provide input on "master data" definition and to implement a high business value "emergency response" "inspection/enforcement" application needed by the enterprise	Pest Incidence Control System (DPI Emergency Program Management System only)
		Remaining Plant Industry applications may fall into later release. No special circumstances for early implementation	Citrus Budwood Registration system
			Citrus Germplasm Introduction Program system
			Plant Inspection Trust Revenue system
			Laboratory Identification Sample Tracking system
			Agricultural Geospatial and Tabular Data Application system (AGDATA)

Exhibit 5: Release Schedule Table

SYSTEM DEVELOPMENT AND IMPLEMENTATION

The implementation timeline is structured around iterative project releases. Each release implements regulatory capabilities for a specified set of business areas (e.g., the first release will involve the Division of Licensing and Division of Administration). Each release follows the same basic implementation lifecycle (Plan and Assess, Design, Develop, Implement and Post Implementation). Each of these release phases is broken down into domains which define the key activities and project team responsibilities.

RELEASE LIFECYCLE OVERVIEW

There are five implementation phases which are performed for each release lifecycle:

1. **Plan and Assess** – planning and preparation to ease design ramp-up
2. **Design** – gather requirements, design processes, and solidify scope
3. **Develop** – build and test the designed solution
4. **Implement** – end user education, user acceptance, and migration activities
5. **Post Implementation** – transition from project mode into a live, supported production operation

The tasks in these phases are assigned to four basic domains (project teams).

- **Project Management** – address return on sponsor investment for the project
- **Process** – address business requirements and benefits
- **People** – facilitate effective and efficient transition to the new business model
- **Technology** – facilitate information quality and integrity, integrate task and solution dependencies across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application architecture and technical infrastructure

RELEASE PHASES

A description of implementation phases, deliverables, and key activities is provided below as an overview. The exact makeup of product work products/deliverables and activities will vary depending on the software and system integrator selected, and different vendors will organize their solutions into different packages, calling them by different names. However, there are certain leading practices for the types of information required to implement an enterprise application. This section will describe typical responsibilities based on business leading implementation plans.

Please note that the deliverables are living documents that will be created in the first release and updated with pertinent information in subsequent releases (e.g. to reflect new user roles or use cases).

The following definitions are relevant to all release phases:

- **Table of Activities:** Lists the activities to be performed
- **Work products/Deliverable:** This section provides a sample list of work products and deliverables based on leading business practices (the Deliverable Materials Guidelines Appendix provides additional detail on: Purpose, Content and Media / Estimated Size)
- **Responsibility for work products/deliverable completion:** Creating deliverables and work products is deemed a joint responsibility under the leadership and direction of one party, unless otherwise designated; a majority of the work products should be seen as a joint responsibility which do not require an extensive formal deliverable review process
  - **Lead:** The "Lead" Party has responsibility for leading the activity by providing knowledge, direction, advice, schedule mitigations, detailed work plans and direction to the effort; the Lead completes their relative share of the deliverable creation work as driven by the resource plan, and has ultimate responsibility for delivering the materials for which they are designated as "Lead"
  - **Assist:** The "Assist" Party owns delivering their relative portion of the work effort to complete their assigned deliverables under the guidance and direction of the "Lead" party

ONGOING PROJECT ACTIVITIES

Supplementary to the defined release phases and activities, there are additional, ongoing tasks. These tasks have joint Systems Integrator (SI) and FDACS responsibility and continue throughout the lifecycle of the project. These are described in the Exhibit below.

TEAM	ACTIVITY
Project Management	Perform Project Tracking and Reporting
Project Management	Secure and Manage Project resources including extended project resources, stakeholders, impacted and third parties
Project Management	Oversee contractual responsibilities
Project Management	Administer Project Change Control Procedures
Project Management	Govern Project Standards and Procedures
People	Maintain both internal and external Project communications

Exhibit 6: On-going Project Activities Table

PLAN AND ASSESS

The objective of the Plan and Assess Phase is to provide detailed initial project planning and preparation for this release of the RLMS project. It is during this phase that detailed release planning and scoping is conducted, strategies are defined, and resources are on-boarded. This detailed project plan will define and clarify systems integrators (SI) and FDACS activities, dependencies, responsibilities, estimated effort hours, and required delivery dates, which are defined by resource at the level of detail equal to each named deliverable.

Examples of activities and responsibilities for Plan and Assess Phase:

TEAM	ACTIVITY	SI	CLIENT
Project Management	Finalize Project Milestone plan for upcoming release	LEAD	ASSIST
Process	Collect and Review existing Project related materials	ASSIST	LEAD
Project Management	Confirm Baseline Scope from the Statement of Work (SOW) for Design	LEAD	ASSIST
Project Management	Finalize extended Project team roles and Responsibilities	LEAD	ASSIST
Project Management	Define Project Management Procedures	LEAD	ASSIST
Project Management	Resource and Operationalize Governance for Project Management Procedures	ASSIST	LEAD
Technology	Confirm Project Documentation Standards and Templates	LEAD	ASSIST
Technology	Confirm Development Standards and Procedures	LEAD	ASSIST
People	Determine Project Team Training Plan	LEAD	ASSIST
Information	Confirm Data Security and Privacy Plan	ASSIST	LEAD
People	Confirm Organizational Change Strategy	LEAD	ASSIST
People	Confirm Communication Strategy	LEAD	ASSIST
People	Confirm End User Education Strategy including technology requirements	LEAD	ASSIST
Information	Confirm Reporting Strategy	LEAD	ASSIST
Information	Confirm Data Migration Strategy	LEAD	ASSIST
Technology	Confirm Configuration Strategy	LEAD	ASSIST
Technology	Confirm Testing Strategy	LEAD	ASSIST
Technology	Confirm Technical Infrastructure Strategy	LEAD	ASSIST
Project Management	Confirm Project Tools Strategy	LEAD	ASSIST
Technology	Define Legacy System Change Strategy	ASSIST	LEAD
People	Conduct Initial Stakeholder Assessment to confirm Project objectives	LEAD	ASSIST

Team	Activity	SI	Client
Project Management	Finalize detailed plan for Design phase	LEAD	ASSIST
Project Management	Assemble the Project Charter	LEAD	ASSIST
Project Management	Conduct Project Kick-off	ASSIST	LEAD
Project Management	Define structures to Communicate, Manage and Escalate Issues	ASSIST	LEAD
Project Management	Define structure for Risk, Mitigation, Containment and Contingency Plans to be developed when Issues occur	ASSIST	LEAD
Technology	Install Enterprise System sandbox System	LEAD	ASSIST
Technology	Conduct Plan and Assess Phase gate review	LEAD	ASSIST

Exhibit 7: Plan and Assess Phase Activities Responsibilities Table

Examples of work products/deliverables responsibilities for Plan and Assist Phase:

Team	Phase	SI	Client	Deliverable Name
Project Management	Plan and Assess	LEAD	ASSIST	High Level Project Milestone Schedule
Process	Plan and Assess	ASSIST	LEAD	Project Input Documentation
Project Management	Plan and Assess	LEAD	ASSIST	Scope Baseline Document
Project Management	Plan and Assess	LEAD	ASSIST	Project Team Organization Structure
Project Management	Plan and Assess	LEAD	ASSIST	Project Management Procedures
Project Management	Plan and Assess	ASSIST	LEAD	Project Management Governance Structure
Technology	Plan and Assess	LEAD	ASSIST	Project Documentation Standards and Templates
Technology	Plan and Assess	LEAD	ASSIST	Development Standards and Procedures
People	Plan and Assess	LEAD	ASSIST	Project Team Training Plan
Information	Plan and Assess	ASSIST	LEAD	Data Security and Privacy Plan
People	Plan and Assess	LEAD	ASSIST	Organizational Change Strategy
People	Plan and Assess	LEAD	ASSIST	Communication Strategy

Team	Phase	SI	Client	Deliverable Name
People	Plan and Assess	LEAD	ASSIST	End User Education Strategy
Information	Plan and Assess	LEAD	ASSIST	Reporting Strategy
Information	Plan and Assess	LEAD	ASSIST	Data Migration Strategy
Technology	Plan and Assess	LEAD	ASSIST	Configuration Strategy
Technology	Plan and Assess	LEAD	ASSIST	Testing Strategy
Technology	Plan and Assess	LEAD	ASSIST	System Landscape Strategy
Project Management	Plan and Assess	LEAD	ASSIST	Tools Strategy
Technology	Plan and Assess	ASSIST	LEAD	Legacy System Change Strategy
People	Plan and Assess	LEAD	ASSIST	Stakeholder Assessment (Initial)
Project Management	Plan and Assess	LEAD	ASSIST	Design Phase Project Plan
Project Management	Plan and Assess	LEAD	ASSIST	Project Charter
Project Management	Plan and Assess	ASSIST	LEAD	Project Kickoff Presentation
Project Management	Plan and Assess	ASSIST	LEAD	Issue Log
Project Management	Plan and Assess	ASSIST	LEAD	Risk Log
Technology	Plan and Assess	LEAD	ASSIST	Sandbox System
Technology	Plan and Assess	LEAD	ASSIST	Project Preparation Gate Review Package

Exhibit 8: Plan and Assess Phase Deliverable Responsibilities Table

Design

The objective of the Design Phase is to create a detailed description of FDACS's business requirements, define the technical requirements to enable those business functions within the RLMS system, and develop and begin implementing an approach to manage the impacts to the organization. This phase also covers the creation of the system technical design, definition of required development work, and the establishment of a development system that is ready for configuration and application development.

Examples of activities and responsibilities for the Design Phase:

Domain	Activity	SI	Client

DOMAIN	ACTIVITY	SI	CLIENT
Process	Create Business Process Master List	LEAD	ASSIST
Process	Prepare Design workshop materials	LEAD	ASSIST
Technology	Conduct Enterprise System hierarchy workshops	LEAD	ASSIST
Process	Conduct Design workshops and gather requirements	ASSIST	LEAD
Process	Develop Enterprise System organizational structures	LEAD	ASSIST
Information	Document Master Data requirements	LEAD	ASSIST
Technology	Document general settings requirements (number ranges etc.)	LEAD	ASSIST
Technology	Oversee Project tools installation and training of Project team users	LEAD	ASSIST
Technology	Install Development Environment(s)	LEAD	ASSIST
People	Conduct Stakeholder Analysis	LEAD	ASSIST
People	Create Communication Plan	LEAD	ASSIST
People	Define Organizational Design	LEAD	ASSIST
People	Develop Value Realization action plan	LEAD	ASSIST
Process	Design automated and manual controls	LEAD	ASSIST
Technology	Perform gap analysis	LEAD	ASSIST
Process	Identify Functionality GAPs	LEAD	ASSIST
Process	Define processes	LEAD	ASSIST
Process	Initialize custom development object definitions	ASSIST	LEAD
People	Define Knowledge Transfer Monitoring Plan	LEAD	ASSIST
People	Determine User roles	LEAD	ASSIST
People	Determine Jobs	LEAD	ASSIST
People	Conduct end user education needs assessment	LEAD	ASSIST
Project Management	Finalize Scope for Realization	LEAD	ASSIST
Technology	Define Disaster Recovery and High Availability requirements	LEAD	ASSIST
Project Management	Manage and Escalate Issues	ASSIST	LEAD
Project Management	Define Risks, Mitigations, Containment or Contingency Plans as each Issue is identified	ASSIST	LEAD
Project Management	Finalize detailed Project plan for Implementation	LEAD	ASSIST
Technology	Conduct Design gate review	LEAD	ASSIST

Exhibit 9: Design Phase Activities Responsibilities Table

Examples of work products/deliverables responsibilities for the Design Phase:

Domain	Phase	SI	Client	Deliverable Name
Process	Design	LEAD	ASSIST	Business Process Hierarchy (BPH)
Process	Design	LEAD	ASSIST	Design Workshop Presentation Materials
Technology	Design	LEAD	ASSIST	Hierarchy Workshop Presentation Materials
Process	Design	ASSIST	LEAD	Requirements Traceability Matrix
Process	Design	LEAD	ASSIST	Configuration Rationale Specification for Enterprise System organizational Structures
Information	Design	LEAD	ASSIST	Master Data Requirements
Technology	Design	LEAD	ASSIST	Configuration Rationale Specification for General Settings such as Number Ranges
Technology	Design	LEAD	ASSIST	Installed Tools Ready for Trained Users
Technology	Design	LEAD	ASSIST	Development System
People	Design	LEAD	ASSIST	Stakeholder Analysis
People	Design	LEAD	ASSIST	Communication Plan
People	Design	LEAD	ASSIST	Organizational Change Plan and Risk/Impact Assessment
People	Design	LEAD	ASSIST	Value Realization Action Plan
Process	Design	LEAD	ASSIST	Business Controls Document
Technology	Design	LEAD	ASSIST	GAP Analysis
Process	Design	LEAD	ASSIST	Prioritized Gap List
Process	Design	LEAD	ASSIST	Process Definition Documents
Process	Design	ASSIST	LEAD	Custom development Definition Documents (Initial)
People	Design	LEAD	ASSIST	Knowledge Transfer Monitoring Plan
People	Design	LEAD	ASSIST	User Roles Definition
People	Design	LEAD	ASSIST	Job Definition Documents
People	Design	LEAD	ASSIST	End User Education Needs Assessment
Project Management	Design	LEAD	ASSIST	Finalized Scope document

DOMAIN	PHASE	SI	CLIENT	DELIVERABLE NAME
Technology	Design	LEAD	ASSIST	Technical Design Document
Project Management	Design	ASSIST	LEAD	Issue Log
Project Management	Design	ASSIST	LEAD	Risk Log
Project Management	Design	LEAD	ASSIST	Development Phase Project Plan
Technology	Design	LEAD	ASSIST	Design Gate Review Package

Exhibit 10: Design Phase Deliverable Responsibilities Table

DEVELOPMENT

The objectives of the Development Phase are to build the system, test the system, conduct data migrations, and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase. In parallel, data conversion cycles are practiced with incremental target increases in volume and accuracy.

The specific plans for most of the key Development Phase activities are driven from the strategies that are agreed upon in the Design Phase.

Testing comprises the following general types:

- Unit – Self-contained, component-level functional testing of configuration and development
- Integration – Process oriented testing of end-to-end business functions
- User Acceptance – Process-oriented testing of end-to-end business functions performed by client end users
- System – Technical production system readiness testing
- Security – Security access testing, including negative testing
- Regression – No change testing

A testing defect means that a process does not function as defined in the mutually agreed upon design document specifications.

The following defines the severity level categorization for systems integration testing defects:

SEVERITY LEVEL	DESCRIPTION	EXAMPLE
1	System Failure. No further processing is possible	Complete lack of System Availability, Results, Functionality, Performance, or Usability
2	Unable to proceed with selected functionality or dependents	System unavailable, key component unavailable, or functionality incorrect and workarounds are not available
3	Restricted functional capability; however, processing can continue	Non-critical component unavailable or functionally incorrect and workaround is available
4	Minor cosmetic change	Usability errors where screen or report errors do not materially affect quality and correctness of function, intended use, or results

Exhibit 11: Defect Severity Table

Once defects are remediated and re-tested, the test is considered complete when no Severity 1 or 2 defects remain and a disposition plan is in place for Severity 3 and 4 defects.

Examples of activities and responsibilities for the Development Phase:

DOMAIN	ACTIVITY	SI	CLIENT
Process	Finalize detailed custom development definitions	ASSIST	LEAD
Process	Confirm Baseline configuration	LEAD	ASSIST
Technology	Create custom development Technical Specifications	LEAD	ASSIST
Technology	Develop and technically unit test custom development Objects	LEAD	ASSIST
Process	Confirm Final Configuration	LEAD	ASSIST
Process	Cleanse and prepare legacy data	ASSIST	LEAD
Process	Unit Test custom development functionality	ASSIST	LEAD
Technology	Define Authorization management Procedures and define organizational values and restrictions	LEAD	ASSIST
Process	Create Functional Unit test plans	LEAD	ASSIST
Technology	Create Integration Test Plan	LEAD	ASSIST
Technology	Integration test scripting	LEAD	ASSIST
Technology	Install Quality Assurance environment(s)	LEAD	ASSIST
Technology	Create performance test plan	LEAD	ASSIST
Technology	Conduct Test Readiness Gate review		
Process	Document Business Process Procedures	LEAD	ASSIST
Information	Create Data Migration Plans including data cleansing and data validation oversight	LEAD	ASSIST

Domain	Activity	SI	Client
Process	Conduct Functional Unit Tests	ASSIST	LEAD
Process	Design automated and manual controls	ASSIST	LEAD
Technology	Install Training Related systems including learning management system, Training sandbox and document repository	LEAD	ASSIST
Information	Execute Dry Run Data Migration including data cleansing and data validation oversight	LEAD	ASSIST
People	Consolidate User Roles	LEAD	ASSIST
People	Develop end user education content	LEAD	ASSIST
People	Define post go-live, ongoing education strategy	LEAD	ASSIST
Technology	Create Batch Jobs	LEAD	ASSIST
Technology	Create Batch Schedule Master	LEAD	ASSIST
People	Update Company Policies and Procedures and create a gap analysis	ASSIST	LEAD
Technology	Compile the Cutover Plan	LEAD	ASSIST
Process	Create User Acceptance test Plans	LEAD	ASSIST
Project Management	Define short term production Support strategy	LEAD	ASSIST
Project Management	Manage and Escalate Issues	ASSIST	LEAD
Project Management	Define Risks, Mitigations, Containment or Contingency Plans as Issues are identified	ASSIST	LEAD
Project Management	Finalize detailed Project plans for Final Preparation phase	LEAD	ASSIST
Technology	Conduct Systems Integration Test	LEAD	ASSIST
Technology	Install Mock cutover environments	LEAD	ASSIST
People	Transfer Knowledge	LEAD	ASSIST
Technology	Deploy Site Infrastructure	ASSIST	LEAD
Technology	Conduct Development Phase gate review	LEAD	ASSIST

Exhibit 12: Development Phase Activity Responsibility Table

Examples of work products/deliverables responsibilities for the Development Phase:

Domain	Phase	SI	Client	Deliverable Name
Process	Develop	ASSIST	LEAD	Detailed Custom Development Definitions (Final)
Process	Develop	LEAD	ASSIST	Configuration Rationale Specification for Baseline Configuration Scope
Technology	Develop	LEAD	ASSIST	Custom Development Technical Specifications

Domain	Phase	SI	Client	Deliverable Name
Technology	Develop	LEAD	ASSIST	Custom Development Code
Process	Develop	LEAD	ASSIST	Configuration Rationale Specification for Final Configuration Scope
Process	Develop	ASSIST	LEAD	Clean Data
Process	Develop	ASSIST	LEAD	Functionally Tested Custom Development Objects
Technology	Develop	LEAD	ASSIST	Authorization Management Procedure
Process	Develop	LEAD	ASSIST	Functional Unit Test Plan
Technology	Develop	LEAD	ASSIST	Integration Test Plan
Technology	Develop	LEAD	ASSIST	Integration Test Scripts
Technology	Develop	LEAD	ASSIST	Quality Assurance System
Technology	Develop	LEAD	ASSIST	Performance Test Plan
Technology	Develop	LEAD	ASSIST	Test Readiness Gate Review Package
Process	Develop	LEAD	ASSIST	Business Process Procedures
Information	Develop	LEAD	ASSIST	Initial Data Migration plan
Process	Develop	ASSIST	LEAD	Tested Development System
Process	Develop	ASSIST	LEAD	Control Requirements Form
Technology	Develop	LEAD	ASSIST	Training Related Systems
Information	Develop	LEAD	ASSIST	Data Migration Plan
People	Develop	LEAD	ASSIST	User Role Matrix
People	Develop	LEAD	ASSIST	End User Education Content
People	Develop	LEAD	ASSIST	Ongoing Education Strategy
Technology	Develop	LEAD	ASSIST	Batch Job Form
Technology	Develop	LEAD	ASSIST	Batch Schedule
People	Develop	ASSIST	LEAD	Updated Company Policies and Procedures
Technology	Develop	LEAD	ASSIST	Cutover Manual Including Cutover Plan
Process	Develop	LEAD	ASSIST	User Acceptance Test Plan
Project Management	Develop	LEAD	ASSIST	Short Term Production Support Strategy
Project Management	Develop	ASSIST	LEAD	Issue Log

Domain	Phase	SI	Client	Deliverable Name
Project Management	Develop	ASSIST	LEAD	Risk Log
Project Management	Develop	LEAD	ASSIST	Final Preparation Phase Project Plan
Technology	Develop	LEAD	ASSIST	Tested Quality Assurance System
Technology	Develop	LEAD	ASSIST	Production System
People	Develop	LEAD	ASSIST	Executed Knowledge Transfer Plan
Technology	Develop	ASSIST	LEAD	Site Infrastructure Deployment
Technology	Develop	LEAD	ASSIST	Development Phase Gate Review Package

Exhibit 13: Development Phase Deliverable Responsibilities Table

Implementation

The Implementation Phase is used to prepare the application release and the organization so it can effectively use the new capabilities. From a purely technical standpoint, moving the application code, taking backups, and switching interfaces requires careful orchestration to minimize downtime and potential risks. While these technical steps are important, preparing the business organization to exploit these new capabilities is even more important. Users need to understand their role and receive training on how to perform it. Authorizations have to be established to perform the necessary tasks, while safeguarding unauthorized processes and data.

Implementation has been broken into two basic sub-phases: the steps needed to **prepare for implementation** and the steps needed to **perform the implementation** (often referred to as Go-Live).

IMPLEMENTATION (PREPARATION)

The objective of the Preparation is to verify readiness for production (go-live), including user acceptance, end user training, site preparation, system project management, and cutover activities. Preparation serves as a last opportunity to address crucial open issues before go-live is executed.

Examples of activities and responsibilities needed to prepare for implementation:

Domain	Activity	SI	Client

DOMAIN	ACTIVITY	SI	CLIENT
Project Management	Manage and Escalate Issues	ASSIST	LEAD
Project Management	Define Risks, Mitigations, Containment or Contingency Plans	ASSIST	LEAD
People	Update Value Realization Action Plan	LEAD	ASSIST
Technology	Conduct performance test	LEAD	ASSIST
Technology	Tune Enterprise System System(s)	LEAD	ASSIST
Technology	Conduct Systems Management tests	LEAD	ASSIST
People	Deliver End User Education	ASSIST	LEAD
People	Conduct End User Education Assessments	ASSIST	LEAD
Information	Execute and Refine Data migration plan including data cleansing and data validation oversight	LEAD	ASSIST
Technology	Execute and Refine the cutover plan	LEAD	ASSIST
Process	Perform Data Reconciliations and Obtain Sign-offs	ASSIST	LEAD
People	Define business continuity Plan	ASSIST	LEAD
Process	Conduct user acceptance testing	ASSIST	LEAD
Project Management	Define help desk procedures	LEAD	ASSIST
Technology	Assess archiving needs	LEAD	ASSIST
Project Management	Create Detailed plan for Go-live and Support Phase	LEAD	ASSIST
People	Define Go-Live Criteria	ASSIST	LEAD
People	Obtain Approval for cutover	ASSIST	LEAD
Technology	Build live production System	LEAD	ASSIST
Technology	Rehabilitate or retire Legacy Systems	N/A	LEAD

Exhibit 14: Implementation Preparation activities and responsibilities Table

Examples of work products/deliverables responsibilities needed to prepare for implementation:

DOMAIN	PHASE	SI	CLIENT	DELIVERABLE NAME
Project Management	Implementation (Preparation)	ASSIST	LEAD	Issue Log
Project Management	Implementation (Preparation)	ASSIST	LEAD	Risk Log
People	Implementation (Preparation)	LEAD	ASSIST	Updated Value Realization Action Plan
Technology	Implementation (Preparation)	LEAD	ASSIST	Performance Tested Systems
Technology	Implementation (Preparation)	LEAD	ASSIST	Tuned Enterprise System System(s)

DOMAIN	PHASE	SI	CLIENT	DELIVERABLE NAME
Technology	Implementation (Preparation)	LEAD	ASSIST	Technical System Test Results
People	Implementation (Preparation)	ASSIST	LEAD	End User Education Class Attendance Roster
People	Implementation (Preparation)	ASSIST	LEAD	End User Education Assessments
Information	Implementation (Preparation)	LEAD	ASSIST	Finalized Data Migration Plan
Technology	Implementation (Preparation)	LEAD	ASSIST	Final Frozen Cutover Manual and Cutover Plan
Process	Implementation (Preparation)	ASSIST	LEAD	Data Validation Sign-off
People	Implementation (Preparation)	ASSIST	LEAD	Business Continuity Plan
Process	Implementation (Preparation)	ASSIST	LEAD	User Acceptance Signoff
Project Management	Implementation (Preparation)	LEAD	ASSIST	Help Desk Procedures
Technology	Implementation (Preparation)	LEAD	ASSIST	Archiving Needs Assessment
Project Management	Implementation (Preparation)	LEAD	ASSIST	Go-Live and Support Phase Project Plan
People	Implementation (Preparation)	ASSIST	LEAD	Go-Live Checklist
People	Implementation (Preparation)	ASSIST	LEAD	Approved Go-Live Checklist
Technology	Implementation (Preparation)	LEAD	ASSIST	Production System
Technology	Implementation (Preparation)	N/A	LEAD	Modified Legacy Systems

Exhibit 15: Implementation Preparation Deliverable Responsibilities Table

IMPLEMENTATION (GO-LIVE)

After all the necessary implementation preparation steps have been completed (i.e. user training, data cleansing, etc.), implementation go-live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live production environment (going-live), and the beginning of transition of the production application to the support organization.

The SI should provide production support assistance during Go-live and sustainment to help facilitate an effective and orderly transition for on-going production support to the long term support organization.

Activities include:

- Provide heightened production support assistance during the Go-Live support for one month after go-live
- Participate in preparing daily reports on incidents and resolution progress on high priority issues
- Incremental knowledge transfer related to the RLMS project to the support organization
- Act as issue support group for FDACS Support Desk with respect to implementation issues and problems
- The SI should provide an estimated six months of sustainment support

Examples of activities and responsibilities for Implementation go-live:

DOMAIN	ACTIVITY	SI	CLIENT
Technology	Cutover to Production System	LEAD	ASSIST
Project Management	Provide Short term Production Support	LEAD	ASSIST
People	Develop and Track Value Realization Measures	ASSIST	LEAD
People	Evaluate Effectiveness of End User Education	LEAD	ASSIST
People	Create ongoing education plan from ongoing education strategy	LEAD	ASSIST
Technology	Perform a controls and security post implementation assessment	LEAD	ASSIST
Technology	Create Upgrade / Enhancement Strategy	LEAD	ASSIST
Project Management	Manage and Escalate Issues	ASSIST	LEAD
Project Management	Define Risks, Mitigations, Containment or Contingency Plans	ASSIST	LEAD
Project Management	Stabilize the go-live and verify live business process results	LEAD	ASSIST
Project Management	Document Project sign off and closure	ASSIST	LEAD

Exhibit 16: Implementation Go-live Activities and Deliverables Table

Examples of work products/deliverables responsibilities for Implementation go-live:

DOMAIN	PHASE	SI	CLIENT	DELIVERABLE NAME

Domain	Phase	SI	Client	Deliverable Name
Technology	Implementation (Go-Live)	LEAD	ASSIST	Executed Cutover Plan
Project Management	Implementation (Go-Live)	LEAD	ASSIST	Executed Center of Excellence Knowledge Transfer Checklist
People	Implementation (Go-Live)	ASSIST	LEAD	Value Realization Analysis
People	Implementation (Go-Live)	LEAD	ASSIST	End User Education Effectiveness Report
People	Implementation (Go-Live)	LEAD	ASSIST	Ongoing Education Plan
Technology	Implementation (Go-Live)	LEAD	ASSIST	Controls and Security Post Implementation Assessment
Technology	Implementation (Go-Live)	LEAD	ASSIST	Upgrade / Enhancement Strategy
Project Management	Implementation (Go-Live)	ASSIST	LEAD	Issue Log
Project Management	Implementation (Go-Live)	ASSIST	LEAD	Risk Log
Project Management	Implementation (Go-Live)	LEAD	ASSIST	Stabilized System
Project Management	Implementation (Go-Live)	ASSIST	LEAD	Project Closeout Report

Exhibit 17: Implementation Go-live Deliverable Responsibilities Table

Competency Domains (Teams)

Competency Domains describe the skill sets required for a successful Enterprise System Implementation Project. These Domains are organized into four high level project teams: Project Management, Process, People, and Technology. Additional information will be provided below for each of these teams with details on FDACS and SI expectations.

In addition to the specific competencies and skills discussed in this section, it is assumed that all project team members have:

- PC application skills - MS Word, MS Excel, MS PowerPoint, MS Project, and Visio
- Willingness to learn new skills and expand their locus of understanding
- Flexibility in responding to the changing priorities of a complex Enterprise System program
- Adequate communication skills, both verbal and written

PROJECT MANAGEMENT TEAM

The principal objectives of the project management domain are to effectively and efficiently manage the scope, resources, schedule, quality, and risks to the program. Competencies in support of the management domain's objectives are drawn from various sources and teams.

Key FDACS skills and experience needed within the Project Management Team:

- A member of the FDACS executive management team
- Decision-making authority within the organization
- Familiarity with FDACS business culture and organizational structure
- Senior IT executive within FDACS
- Familiarity with FDACS IT infrastructure and organizational structure
- Respected within the organization
- Strong project management skills
- Respected business process owner within the organization

Key SI skills and experience needed within the Project Management Team:

- Enterprise System delivery experience with demonstrated leadership and managerial skills
- Ability to communicate effectively with client senior leadership
- Ability to advise on strategy, direction, and risk
- Relevant industry experience
- Demonstrated project management skills
- Enterprise System delivery experience
- Ability to manage people, tasks, scope, and issues
- Ability to work closely with process leaders and other key stakeholders, as well as communicate progress
- Experience managing project financials, progress tracking, reporting and related communications, and presentations

PROCESS TEAM

This competency domain manages the solution to make sure it delivers the business capabilities necessary to address the agreed upon business requirements.

Key FDACS skills and experience required within the Process Team:

- Thorough understanding of the FDACS business requirements for each business function and organizational unit
- Well respected by resources in all business units and organizations in scope
- Ability to explain and champion the enterprise future state
- Empowered by the executive leadership team to make process design decisions on behalf of the broader organization
- Detailed understanding of their respective area
- Knowledge of existing applications/data and/or processes
- Understanding of business requirements
- Ability to develop clear functional specifications to address business requirements
- Perceived as a team player
- Strong verbal, written, and organizational skills

Key SI skills and experience required within the Process Team:

- Knowledge of and prior experience in end-to-end business process area
- Team leadership experience
- Detailed understanding and experience in configuring an enterprise system
- Prior experience designing and implementing business process and enterprise system systems solutions
- Knowledge of configuration elements within enterprise system
- Ability to configure enterprise system for a given business process

PEOPLE TEAM

This competency domain assesses the current organizational structure and guides the organizational change needed to exploit the new enterprise system.

Key competencies required within the people team:

- Communication
- Learning and knowledge
- Value realization

Key skills and experience for FDACS roles in the People Team:

- Ability and experience facilitating organizational change
- Able to manage people, tasks, scope, risks, and issues
- General FDACS business knowledge
- Strong core communication/inter-personal skills
- Member of the current organization communications team
- Respected within the organization
- Perceived as a team player
- Demonstrated project management skills
- Training delivery experience

Key SI skills and experience required for the People Team:

- Knowledge of organizational impact of Enterprise System implementation in large, complex organizations
- Prior experience designing and developing training materials for Enterprise System
- Prior experience in communications strategy development and deployment
- Demonstrated project management skills
- Experience in Enterprise System training, development, delivery, and deployment in multiple environments and utilizing multiple strategies
- Working knowledge and understanding of various training strategies with blended learning solutions and environments
- Ability to manage people, tasks, scope, risks, and issues
- Experience with remote team training developers
- Knowledge of learning technologies

TECHNOLOGY TEAM

The technology competency domain consists of four major sub-domains: Information, Integration, Development, and Infrastructure. Information technology deals with the quality, usability, reliability, integrity, currency, governance, and security of the information that will be used for decision-making in the operational environment. The technology competency also works with the project management office to provide the integration of consistent quality standards, project procedures, integrated tasks, and dependencies across the domains and throughout project phases. The technology domain involves timely delivery of tested

development objects that address business requirements and development of quality standards. The infrastructure aspect of the technology domain is accountable for providing the appropriate technical environments to allow project work to progress.

The key competencies required within the Information sub-domain are:

- Data governance structure definition and implementation
- Data migration
- Business Intelligence requirements definition
- Information security (such as encryption)

Key FDACS skills and experience required for the Information sub-domain:

- Ability to represent a cross-section of stakeholder groups
- Strong organization and communication skills
- Experience in implementing policies and procedures
- Understanding of data governance concepts
- Experience with business data normalization and consolidation
- Field level knowledge of legacy data elements to enable FDACS owned data cleansing
- Understanding of business analytics requirements
- Ability to develop functional specifications for business analytics

Key skills with respect to the SI roles in the Information sub-domain:

- Experience leading business analytics activities on a global Enterprise System project
- Understanding and experience with relevant technologies
- Broad cross functional data knowledge
- Experience in implementing policies, standards, requirements, guidelines, and data definitions
- Ability to proactively prioritize and mitigate core data issues
- Experience with data migration tools and procedures
- Strong experience with business data normalization and consolidation.
- Experience with data governance principal practices
- Team leadership experience
- Strong communication and organization skills

The key competencies required within the Integration sub-domain are:

- Integrated solution design
- Configuration management
- Test management
- Cutover management

Key FDACS skills and experience required for the Integration sub-domain:

- Understanding of to-be process and data
- Experience in FDACS organization and business
- Ability to navigate and mobilize FDACS Subject Matter Experts (SME) and decision makers
- Demonstrated project management skills
- Global enterprise system test management experience
- Able to manage people, tasks, scope, risks, and issues
- Strong communication skills
- Understanding of full lifecycle test methodology

Key skills with respect to the SI roles in the Integration sub-domain:

- Demonstrated project management skills
- Strong communication and coordination skills
- Broad, deep, and hands-on enterprise system functional and technical delivery experience
- Ability to manage people, tasks, scope, risks, and issues
- Enterprise system test management experience
- Understanding of full life cycle test methodology

The key competencies required within the Development aspects of this sub-domain are:

- Development planning and governance
- Development specifications
- Development object coding and unit testing
- Development Quality Assurance

Key FDACS skills and experience required for the development sub-domain:

- Strong familiarity with existing legacy landscape
- Experience in leading legacy developers
- Prior experience designing, developing, coding, and testing legacy applications and data conversions

Key SI skills and experience required for the development sub-domain:

- Experience with enterprise system custom development including enhancements, interfaces and data conversions
- Experience designing and developing middleware solutions with enterprise system environments
- Experience leading global development resources (local and remote)
- Technical and functional competence to conduct functional specification and application code reviews
- Business Packages (BP) implementation experience
- Experience with portal federation
- Prior experience designing, coding, and testing custom developed programs
- Portal branding experience (website customization)
- Portal Administration experience: Portal Content Directory object creation and maintenance
- Experienced in knowledge management and collaboration

The key competencies required within the Infrastructure aspects of the Infrastructure sub-domain are:

- Enterprise system technical architecture design
- Enterprise system security authorization design
- Enterprise system administration

Key FDACS skills and experience required for the infrastructure sub-domain:

- Experience with enterprise system and applicable technical architectures
- Knowledge of existing application landscape

- Ability to think at strategic level and verify link to business strategy
- Experience in operating system administration
- Willingness to learn enterprise system related operating system S impacts
- Experience in database administration
- Willingness to learn enterprise system related database impacts
- Understanding of legacy system security requirements
- Understanding of security policies
- Ability to develop clear security functional specifications to address business needs
- Trained on the enterprise system authorization concept

Key SI skills and experience required for the infrastructure sub-domain:

- Experience of implementing technical solutions for complex enterprise systems
- Experience in enterprise system administration
- Portal development experience
- Experience with Single Sign-on (SSO) setup between portal and other backend systems.
- Experience with security mapping and portal role creation
- IT audit background and segregation of duties experience

Estimated Project Schedule for Major Releases. This initial estimated schedule and its associated resource plans will be further evaluated in subsequent planning phase activities and confirmed prior to the beginning of the Design Phase and on an ongoing basis throughout the project.

Based on learning, new information, improved common understanding, and a dynamic business environment, it is anticipated that scope refinement and consequent recalibration will be required at the conclusion of the Process Phase. This will allow for more informed and effective planning of the work effort required to execute the Development Phase. Any material change affecting scope, critical milestones, and/or resources will be assessed, documented, and agreed upon using the Project Change Control Process outlined in the Appendix and will be incorporated into the relevant phase-based detailed plans once agreed by both SI and FDACS.

EXAMPLES OF WORK PRODUCTS/DELIVERABLES MATERIALS

The content, format, approximate size, and medium of each deliverable material is described in the Appendix: Deliverable Materials Guidelines.

ORGANIZATIONAL CHANGE MANAGEMENT

When any change occurs within an organization, stress and loss of productivity is fully expected. The greater the change, the longer it takes to regain stability within the new environment. A structured and proactive approach to change management will minimize the reduction in productivity and enhance results faster than if change management is not engaged. Migrating Divisions to an enterprise system solution for RLMS will ultimately benefit the State of Florida; however, the transition represents a significant change within the FDACS and will certainly be challenging.

A combination of a robust OCM framework and strategy should be designed to proactively transition FDACS staff and other state agency employees through these changes. A consolidated strategy will provide a comprehensive approach to preparing, managing, and communicating the impact of changes that will occur in the transition to a new enterprise solution. Development of this strategy into an executable communication plan, escalation process, and clearly articulated stakeholder analysis will promote a successful and timely transition

OCM OVERVIEW

OCM is a comprehensive set of practical and proven strategies, tools, and tactics designed to mitigate the business and human risks associated with major organizational changes. It is the process of aligning people with changes in strategy, business processes, and technology to help an organization achieve goals associated with a particular change initiative. Effective OCM is associated with an improved probability of project success, increased management buy-in, and higher end-user acceptance than if OCM were not applied.

The concept that change can be effectively managed is based on the assumptions certain strategies can be applied to influence human and organizational behavior. These strategies include such things as ongoing two-way communication, visible and consistent leadership commitment, and involvement from people impacted by the change. Activities often associated with OCM include:

- Stating the benefits of the change clearly and consistently
- Identifying and coaching key leadership and management sponsors to support and sanction the change
- Identifying stakeholder groups impacted by the change
- Planning and executing communications to support key stakeholder needs
- Identifying and proposing opportunities for stakeholder involvement
- Planning for and executing an education and training program for stakeholders based on the new system, processes, policies and procedures, and responsibilities

- Assessing the impact of process, organization and job changes, and aligning the organization through performance measures, incentives, management policies, and internal processes
- Assessing and managing resistance to change

OCM Functional Model

The RLMS Project is a very large, complex initiative. It will involve changes to long standing business practices that will affect employee duties, job functions, and roles, while involving multiple organizations, each working to achieve different missions. Effective OCM requires a carefully planned implementation that is collaborative and highly leveraged with FDACS resources in each regulatory program area. The organizational strategy presented in Exhibit 18: OCM Functional Model (on the next page), is one model that can be leveraged to ensure participation throughout the Department and effective management of the employees' journey throughout the life of the project.

The OCM strategy can be used to drive successful change and communications for the RLMS Implementation Project and achieve the following objectives:

- Establish a scalable structure to support change management for the RLMS Implementation Project and provide the ability to prioritize and manage communications and change across multiple Divisions
- Create consistent, efficient messaging, and communication for system end users regarding the RLMS Implementation Project and the role they will play in the transition
- Create awareness and understanding among system end users regarding new policies and procedures and long-term benefits of converting to an enterprise system
- Communicate the project plan for the RLMS Implementation Project implementation, overall timing for deployment, and the impact to staff
- Ensure all Department leadership and staff are aware of program and policy changes occurring with the implementation of RLMS Implementation Project
- Secure buy-in from Department leadership to ensure they are supportive of the project and provide resources needed to achieve end user acceptance and adoption of the changes

Change Management objectives are accomplished by:

- Establishing a Strategic OCM Team consisting of representatives from all of the affected areas and stakeholders

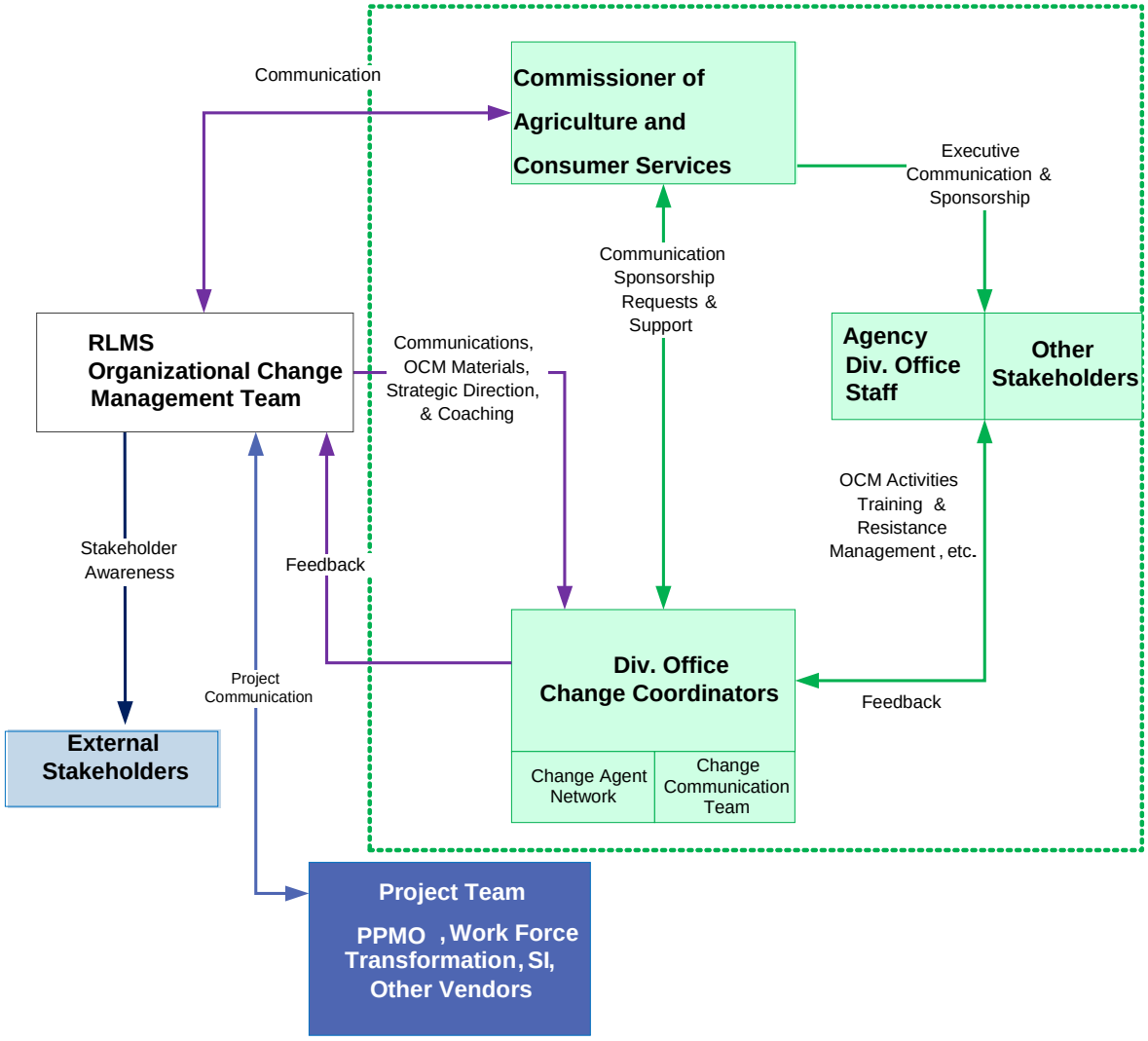

Exhibit 18: OCM Functional Model

- Establishing an Organizational Change Management and Communication (OCM & C) Team across the Divisions; these Department-based OCM & C teams are responsible for direct communication to Department staff and other stakeholder groups
- Empowering the OCM & C team with the ability to manage RLMS Implementation Project related message content, senders, receivers, and timing; providing consistent communications, tools, and resources to Change Agents
- Addressing issues and setting priorities for matters arising as the project progresses

- Building upon existing structures and communication channels while identifying new approaches to maximize communications

OCM Framework and Deliverables

The following Exhibit illustrates the five key stages with associated OCM deliverables and tasks. Keep in mind these tasks will be done for each set of applications within each release.

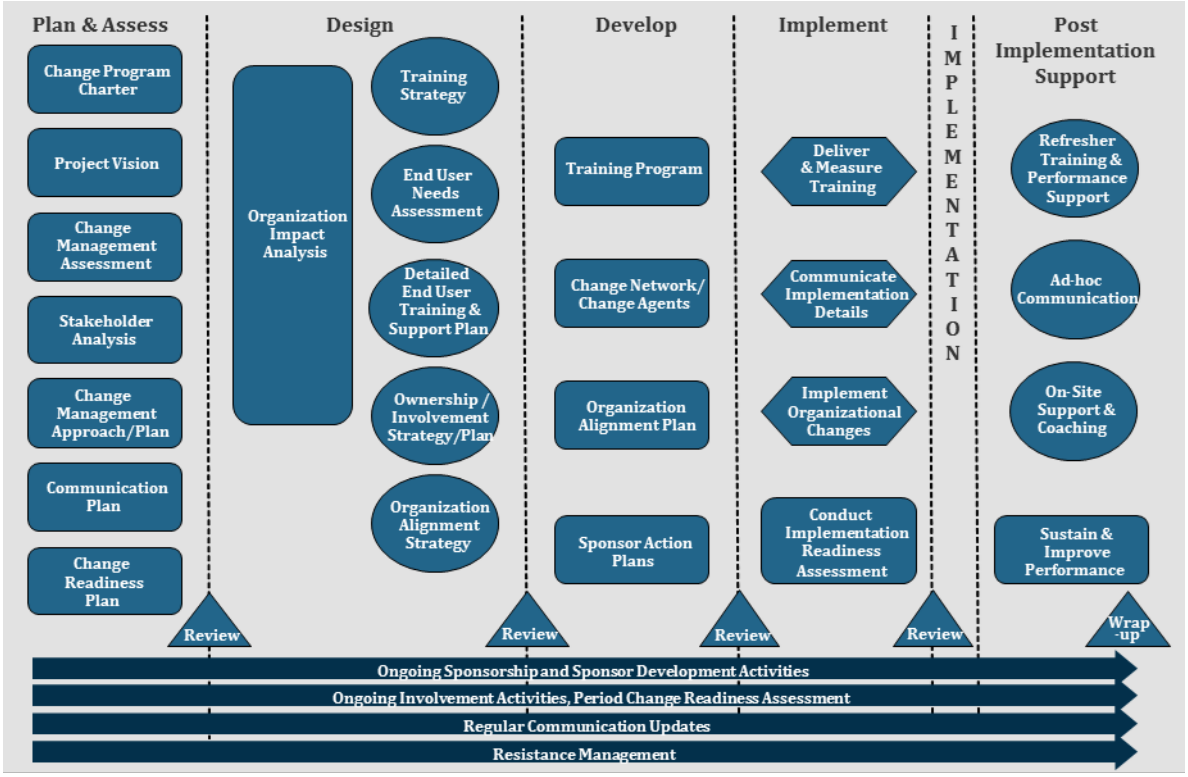

Exhibit 19: Consolidated OCM Framework

It is important to note that to execute projects right the first time, change management must play a coordinated role within the project management team. To have a successful transition, synchronization between the OCM activities and other work streams is imperative.

The OCM framework presented in the above Exhibit 19 is suited to the RLMS Implementation Project and should be considered as a general guide and starting point, supplemented with additional toolkits and best practices as needed.

Workforce Transition

At its core, the RLMS Implementation will change the way people work. There will be a shift from data entry to data analysis. Tasks will be restructured or eliminated. FDACS may even reorganize to take advantage of new efficiencies. A detailed Workforce Transition Plan aligns

people with business strategy. The workforce transition plan also describes how to manage, develop, and motivate talent while ensuring any major business and technology changes effectively serves business needs.

Workforce Transition should be used to inform the development of a work plan and identify the steps necessary to align and update the future business processes with the new functional model and organization chart. The plan should define the priority, sequence, and dependencies of the transition to the new operating model. In other words, consider the priority and sequence of the transition to the new business processes in order to minimize the impact to the organizational unit, or department. This allows the completion of each organizational and workforce transition activity to align with the larger RLMS Implementation Project activities with the goal of achieving a smooth transition for impacted stakeholders.

The suggested approach includes five core steps, as outlined below:

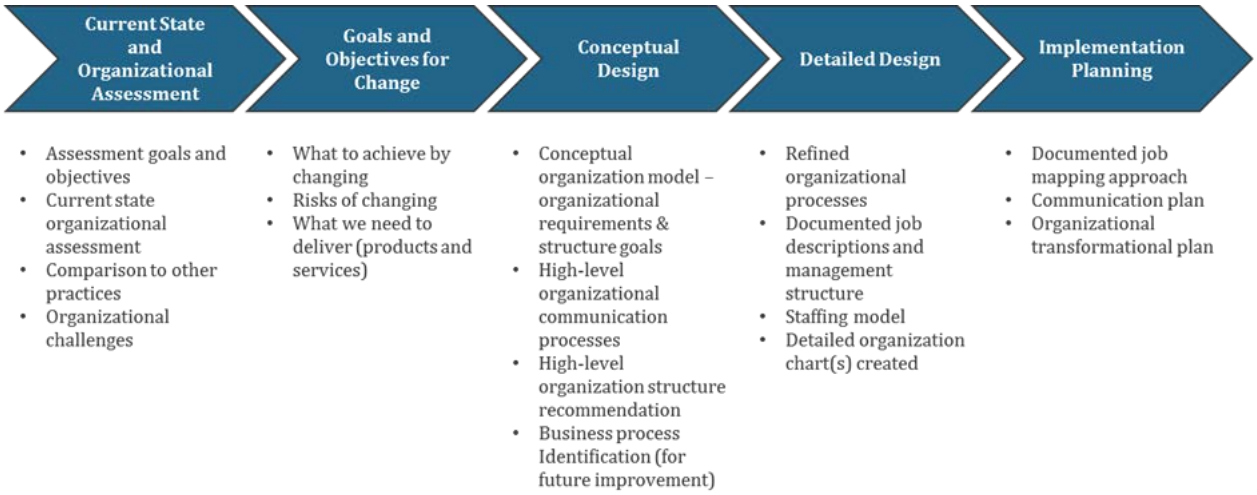

Exhibit 20: Workforce Transition Approach

WORKFORCE TRAINING

The project will assign training leads, training developers, trainers and/or training coordinators. One individual can perform more than one training role during the project lifecycle.

Specialized training and coaching is essential to close any performance, knowledge, skill, cultural, or competency gaps, which could prevent a successful implementation of a new system, organizational redesign, or process change. There is a close tie between training and communications. Both work streams strive to increase awareness and understanding of the change.

The training approach starts with developing the training strategy to ensure it meets the needs of the project when the training is delivered.

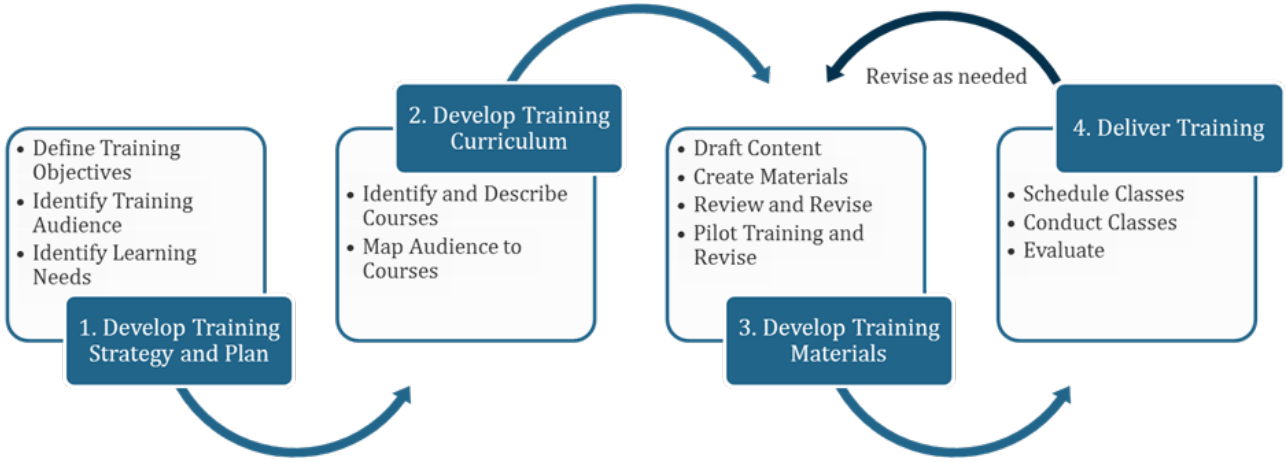

Exhibit 21: Workforce Training Approach

The solution should consider computer-based or web-based training, online meetings, facilitated workshops, instructor led training, train the trainer, web recordings, job aids, experiential exercises, and strategy gaming.

Another key element is identifying training metrics to determine training effectiveness and creating a training scorecard. Evaluations and surveys conducted during and after the training capture the metrics applied against this scorecard, and training can be revised and improved as needed.

Communication Planning

Frequent and open communication, which establishes clear and compelling reasons for change, is a critical success factor in change management initiatives. Communicating change requires the audience to understand their role in the change, the impact of the change, and what to expect from the change. When this is accomplished, users' transition to the new processes and technology associated with the project with less resistance and disruption to normal operations.

Core messages must demonstrate how the project is aligned with agency strategy while also being easy to understand and consistently fitting within the Department's values and culture. Messages are best received when they focus on the benefits for each stakeholder group and relay the benefits of the change for the organization as a whole.

To maximize the effectiveness, the communication strategy should focus on the following objectives:

- Promote ownership and acceptance of the process, technology, and organizational changes that will accompany the project
- Guide project sponsors and leaders in the communication development and delivery process
- Ensure stakeholders receive appropriate communication regarding the project
- Promote consistent and regular communication
- Reduce fear and resistance
- Communication wins
- Ensure people receive and understand the messages sent
- Promote two-way communication regarding the project

The communications approach, as demonstrated in Exhibit 22, includes three overlapping phases: Prepare to Communicate, Develop the Plan, and Implement and Assess the Plan. It is important to realize the phases of the communication approach are interdependent and iterative.

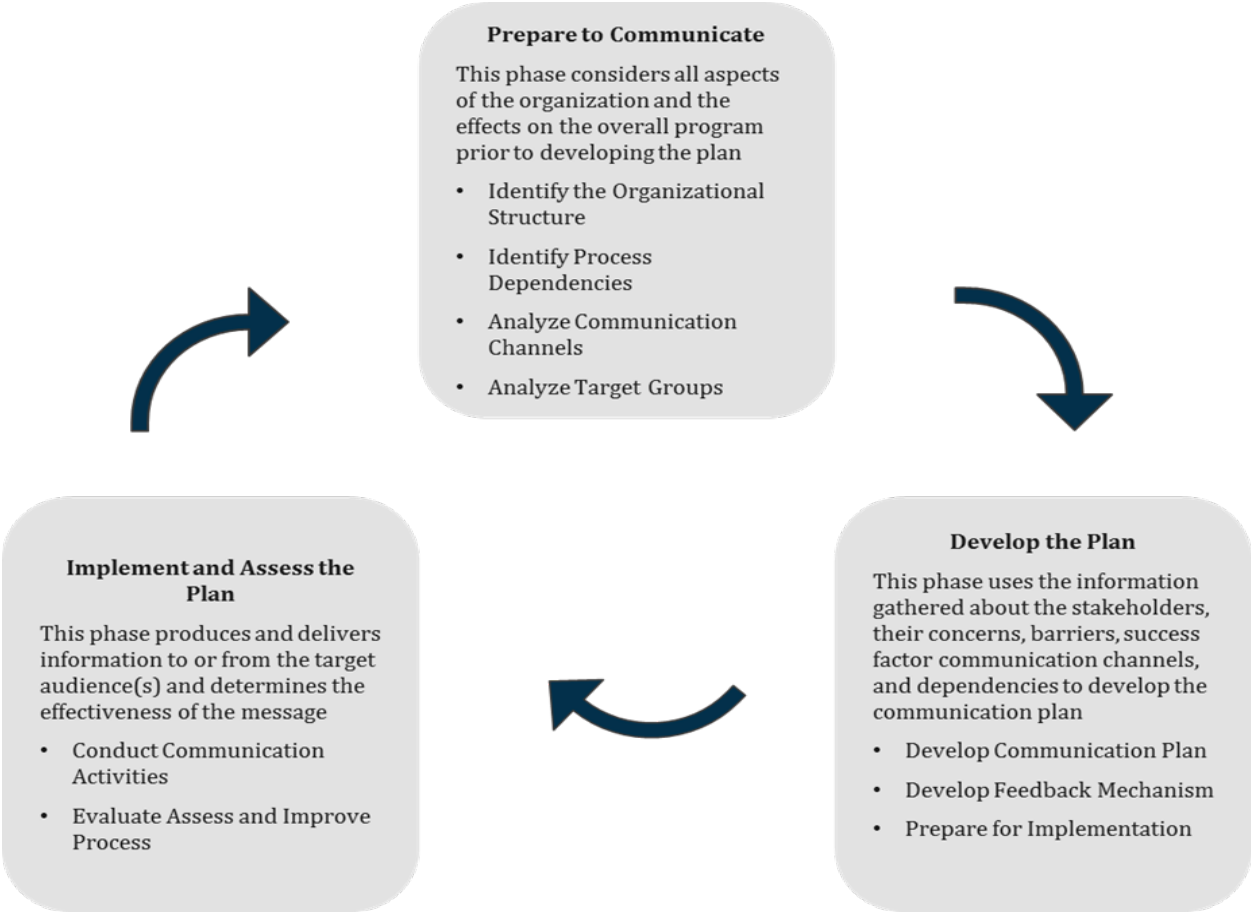

Exhibit 22: Communications Approach

DELIVERABLE MATERIALS GUIDELINES

This appendix contains a list and overview of possible deliverables for the RLMS Project by release phase. They are listed sequentially based on when they would be developed or refined. This list is based on leading practices across the enterprise system industry. It should serve as an example of typical content and format and be understood that different system integrators may format their deliverables differently. This list may be reduced or expanded based on specific needs of the program. North Highland recommends evaluating the effectiveness of each deliverable during the course of the project and making necessary adjustments.

Plan and Assess Phase Deliverables

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	High Level Project Milestone Schedule	Serves as an overview of the entire project duration from the Development Phase through the Implementation and Sustainment Phases	▪ Dates ▪ Durations ▪ Dependencies ▪ Milestones ▪ Phases	Spread sheet	1 page
Process	Project Input Documentation	Any pre-existing documentation that can be leveraged as input to solution design and development	Such documents may include but are not limited to: ▪ Current work procedures ▪ Data management procedures ▪ Existing sample reports ▪ SOX control documents ▪ System overview diagrams ▪ Current environment pain points	CD	N/A

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Scope Baseline Document	Detailed confirmation of each scope level to confirm mutual understanding, lay out work plans, and clarify scope expectations	▪ Business and non-functional processes ▪ Enterprise System Applications Organization ▪ Technical Infrastructure custom development	Spread sheet	5-10 pages
Project Management	Project Team Organization Structure	Organizational chart delineating responsibilities of each role in the project structure	▪ Executive Sponsor(s), ▪ Steering committee, ▪ Project Management Office ▪ Process Owners ▪ Each Client and SI role by work stream ▪ Subject Matter experts ▪ Super Users	PowerPoint	2-5 pages
Project Management	Project Management Procedures	Defines procedures, forms, and workflows to be followed by the project	▪ Issue Management ▪ Decision-making procedure for key decisions ▪ Risk Management ▪ Change Management ▪ Escalation Procedure ▪ Deliverable acceptance procedure ▪ Standing Meeting Cadences ▪ Status Reporting ▪ Work Plan update procedure	MS Word	30-50 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Project Management Governance Structure	Adds resources and accountable parties to govern project procedures	▪ Governance structure ▪ Decision-makers ▪ Escalation paths ▪ Responsible parties (names in boxes) ▪ Effectiveness checks ▪ Ongoing procedure improvements	MS Word	5-10 pages
Technology	Project Documentation Standards and Templates	For each deliverable type that is populated by multiple teams, a guidebook comprised of the defined components is consolidated within the Project Documentation Standards and Templates deliverable	▪ Deliverable template ▪ Completed example documentation procedures document workflow (Inputs / creation / reviewers / approvers) ▪ Quality standards	MS Word	100-200 pages
Technology	Development Standards and Procedures	Guides the quality and efficiency of development objects	▪ Process input ▪ Naming standards for the various development object types ▪ Documentation and programming standards and guidelines ▪ Data definition ▪ Roles and responsibilities ▪ Development workflow ▪ Quality assurance procedure	MS Word	30-50 pages
People	Project Team Training Plan	Coordinates resources and training classes	▪ Course names ▪ Dates ▪ Durations ▪ Dependencies ▪ Attendees ▪ Facilities and Logistics ▪ Delivering organization(s) / Trainers	MS Word	2-3 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Data Security & Privacy Plan	Documents how data is to be protected in accordance with contractual requirements, local laws and SI standards	▪ Training/Awareness ▪ Workplace Security ▪ Management Review ▪ Security Planning and Technical Controls ▪ User ID Administration and Access Controls including production access, privileged access, shared IDs, and emergency IDs ▪ Separation of Duties ▪ Additional security safeguards that may need to be added to address contractual commitments ▪ Security Incident Management ▪ Reference to inclusion of on-boarding activities and off-boarding activities in the On/Off-boarding process	MS Word	30-50 pages
People	Organizational Change Management Strategy	Outline the organizational change approach for the Project as input to the detailed plans for each of the organization domain focus areas	▪ Value Realization ▪ Stakeholder Management & Alignment ▪ Organizational Design ▪ Change Readiness	MS Word	15-20 pages
People	Communication Strategy	Definition of approaches to communicate the impacts of the Enterprise System Project	▪ Audience groups ▪ Message Types ▪ Communication focus by phase ▪ Message development resources ▪ Range of Media to be used ▪ Key communicators	MS Word	10-15 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	End User Education Strategy	Define the approach and guidelines for end user education	▪ Target audience assessment ▪ Learning objectives ▪ Training/e-learning approach ▪ Existing or related course content assessment ▪ Potential training facilities ▪ Existing technology and training tools assessment ▪ End user education development and delivery approach	MS Word	30-50 pages
Technology	Reporting Strategy	Communicate guiding principles, critical success factors, and high level reporting strategy to information stakeholders.	▪ Role and Responsibilities ▪ Architecture / Security ▪ Data Integrity ▪ Quality and Standards ▪ High-level Phase Activities ▪ Information Delivery / Tools	MS Word	10-15 pages
Technology	Data Migration Strategy	Defines the approach and parameters agreed to execute data migration activities	▪ Scope ▪ Phase objectives and dependencies ▪ Technical Requirements ▪ Roles and responsibilities ▪ Risks and red flags ▪ Leading Practices	MS Word	15-25 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Configuration Strategy	Guides the delivery of configured systems that help enable the requirements and processes defined during the Design Phase	▪ Predecessors ▪ Approach ▪ Scope ▪ Key tasks and Milestones ▪ Deliverables ▪ Roles and responsibilities ▪ Technical Environment Standards	MS Word	10-15 pages
Technology	Testing Strategy	Outlines the overall testing approach for the project. Each testing activity in the project implementation life-cycle is covered. The Comprehensive Testing Strategy is used as a baseline to develop each of the testing plans in the Enterprise System Ascendant methodology	▪ Overall testing approach ▪ Overview of each testing activity and its cycles and objectives ▪ Testing roles and responsibilities ▪ Testing procedures ▪ Testing tool usage ▪ Test Exit Criteria	MS Word	20-30 pages
Technology	System Landscape Strategy	Overview of scope, procedures, standards, and usage of the Enterprise System relevant landscape components	▪ Enterprise System environments ▪ Correction and Transport procedures ▪ Security and controls ▪ Tools	MS Word	10-15 pages
Project Management	Tools Strategy	Agreed upon tools that will be used during the Project, how to install and get access to the tools, the approach to train tool users, what functionality the chosen tools will provide to the project team and where to find user guides and other relevant documentation, security access, and the key project point of contact	▪ The following Project functions are likely to be supported by specialized tools: Work plan Management, Documentation repository, Process Flowcharting, Test Management, Training material development	MS Word	10-15 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Legacy System Change Strategy	Defines guidelines for the divestiture or rehabilitation of legacy systems to operate within the new Enterprise System landscape	▪ As-Is vs. To-Be Architecture diagram ▪ Legacy systems to be de-commissioned, set up update only or rehabilitated ▪ Legacy change procedures ▪ Roles and Responsibilities Deliverables ▪ Milestones and dependencies ▪ Security modifications	MS Word	10-15 pages
People	Stakeholder Assessment (Initial)	Increase the likelihood of success of the implementation by helping consider the interests of affected key people or groups, and that they are actively involved in the change and encouraged to support the change	▪ The identification and analysis of key stakeholder groups ▪ Initial analysis of stakeholder issues and concerns ▪ Development of approaches to involving stakeholder groups ▪ Design of "change management" interventions where appropriate ▪ Monitoring and evaluation of stakeholder views and involvement	Open	10-12 pages
Project Management	Design Phase Project Plan	Plan at a level of detail sufficient to direct the efforts of the project team in the upcoming phase and provide a baseline against which progress and change can be measured. The Integrated Design Phase Plan should allow the phase to be managed effectively and resource requirements to be understood within and across the domains	▪ Milestones ▪ Activities ▪ Responsibilities ▪ Sequencing ▪ Dependencies ▪ Key deliverables with dates ▪ Time and effort required ▪ Resources	MS Project Plan	10-20 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Project Charter	Consolidation of strategies, objectives, procedures, approaches, and scope statements previously determined. Aligns stakeholders and the work streams around a common understanding of the project	▪ Executive Summary ▪ Business Case, ▪ Current Situation Assessment, ▪ Project Approach, ▪ Organization and Roles, ▪ Scope, ▪ Standards and Procedures	MS Word	15-25 pages
Project Management	Project Kickoff Presentation	Presentation overview of the Project background, scope, goals, and objectives. It describes the Project approach, roles, responsibilities, and timeline to align impacted parties	▪ Business Strategy, ▪ Scope and Objectives ▪ Key Issues and Risks ▪ Project Approach and roadmap ▪ Roles and responsibilities Timeline ▪ Expectations and critical success factors	PowerPoint	75-100 pages
Project Management	Issue Log	Documents and manages project issues	▪ Contains fields to track and manage issues such as: Raised by, Issue Identifier, Description, Priority Date raised, Status, Issue Consequences, Resolution Target Date, Owner	MS Word or Agreed Issue Management Tool output report	2-8 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Risk Log	Mitigates project risks	▪ Contains fields to track and manage risks including: Raised by, ID , Name, Date risk identified, Status, description , Probability, impact, mitigation, Owner , Related actions, consequences	Spread sheet or Agreed Risk Manag ement Tool output report	1-5 pages
Technology	Sandbox System	Enables initial prototyping of high level solution ideas and confirmation of functionality gaps	▪ Standard delivered CORE system with low performance, open access, no interfaced systems or preloaded data or back-up procedures or security configuration, unless employing an existing client environment copy or an agreed baseline template	System	N/A
Technology	Project Preparation Gate Review Package	Consolidation, assessment, and quality assurance of the completion of Plan and Assess activities	▪ Project scope review of staffing for Design phase ▪ Project Strategies have been determined ▪ Effectiveness of the Project kickoff meeting assessment ▪ The Steering Committee is in place Project Charter has been compiled	PowerP oint or MS Word	15-20 slides or 3-5 text pages

Exhibit 23: Plan and Assess Phase Deliverables Table

Design Phase Deliverables

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Use Case Scenario Inventory	A list denoting each Business Process use case that will be a part of the final solution. This list will be supplemented and refined at the conclusion of Design.	▪ Use Case Scenarios and alternative flows.	Spreadsheet	15-25 pages
Process	Design Workshop Presentation Materials	Presentation materials used to facilitate process definition	▪ Scope of process area to be covered ▪ Format and objectives of workshop ▪ Order of execution and timeframes ▪ Participant roles and responsibilities ▪ Criteria prioritization process ▪ An example of the results of the workshop and how they will be used in the remainder of the Project ▪ Process for parking items (To-Do list) ▪ Explanation of next steps	PowerPoint	30-40 pages per workshop

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Hierarchy Workshop Presentation Materials	Presentation materials used to facilitate Enterprise System Organizational Hierarchy structure definition	▪ Scope of hierarchy objects to be covered ▪ Purpose of each object ▪ Dependencies ▪ Key characteristics ▪ Impacts ▪ An example of the results of typical hierarchy choices ▪ Hierarchy object integration Process for parking items Explanation of next steps	PowerPoint	25-50 pages
Process	Requirements Traceability Matrix	Lists business requirements for each future business process, grouped by business area, numbered and prioritized	▪ Requirements groupings include: Business Process Functionality Business Rules Support System Calculation Ability Workflow Reporting Data Collection Query Capability Technical Navigational / ease of use Look and Feel	Spreadsheet	15-25 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Configuration Rationale Specification for Enterprise System Organizational Structures	Configuration parameter settings and the decisions associated with choosing the settings for Enterprise System Organizational Structures	▪ Name of person who performed the configuration ▪ Change history ▪ Rationale behind configuration ▪ Approver ▪ Scenarios required to test the configuration ▪ Traceability to process and organizational requirements	MS Word	5-10 pages
Technology	Master Data Requirements	Outcomes of the master data requirements Design workshops. Identifies key master data elements that will be managed centrally as opposed to within the process teams	▪ Roles and responsibilities ▪ List of master data elements ▪ Data stakeholders ▪ Primary owners ▪ Data cleansing needs ▪ Object specific migration definition ▪ Risks / Issues / Challenges	MS Word	15-20 pages
Technology	Configuration Rationale Specification for global settings such as Number ranges	Configuration parameter settings and the decisions associated with choosing the settings for Enterprise System global settings	▪ Who performed the configuration Change management history ▪ Who approved the configuration Scenarios required to test the configuration ▪ How the configuration addresses the business process and organizational requirements	MS Word	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Installed tools ready for trained users	Aids Project specific tasks to be conducted according to the tools strategy	▪ Each tool's functionality documented ▪ Each tool's set-up process documented ▪ Licenses secured ▪ User guides ▪ Access ▪ Controls ▪ Reporting capabilities ▪ Functionality enabled ▪ Supporting hardware configured	System and various MS Word files	25-100 pages
Technology	Development System	Allows Development activities to take place	▪ System built same as sandbox, but with more defined developer roles and less open configuration access. ▪ Specific clients serving specific purposes including a limited access gold client from which configuration is sourced throughout the future pipeline.	System	N/A

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	Stakeholder Analysis	Expands upon the initial stakeholder assessment to refine categorization of Stakeholders and drives a plan for appropriate interventions	▪ Key points from business case, goals, strategy, vision from initial analysis and stakeholder groups ▪ Defines Principles of engagement and participation ▪ Segmented client groups into key stakeholder groups or individual and prioritize ▪ Analyzes stakeholder issues and roles ▪ Stakeholder management plan ▪ Identifies stakeholder management actions required	MS Word	15-25 pages
People	Communication Plan	A clear plan for dissemination of messages to impacted audiences at the right times throughout the project. Is aligned with Stakeholder Analysis outcomes as well as the education strategy	▪ Audience ▪ Message ▪ Purpose ▪ Developer ▪ Medium ▪ Communicator ▪ Timing ▪ Feedback	MS Word	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	Organizational Change Plan and Risk/Impact Assessment	Operationalizes the Organizational Change Strategy through recording and prioritizing mitigating actions to smooth transition to the new environment	▪ Gaps between current and target environments ▪ Impact of Change ▪ Severity of impact ▪ Groups Impacted ▪ Action Plan / Mitigating plan ▪ Cross functional changes requiring broad scale management	MS Word	5-10 pages
People	Value Realization Action Plan	Defines the necessary steps the client must execute to help address the benefits identified in the Benefits Case	▪ Benefit Chains and the Value Realization Actions ▪ Integration with the Enterprise System work plan and Change Management activities. ▪ Measurable benefit definition ▪ Process, people, organization and technology change tasks required to address benefits ▪ Benefit Owners' proof of commitment	MS Word	3-10 pages
Process	Business Controls Document	The purpose of this document is to outline the approach that will be followed to identify, document, and implement business process controls for the Enterprise System production environment	▪ Business process control objectives and high-level security requirements. ▪ Risks of not addressing the business process controls objectives identified	MS Word	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	GAP Analysis	Using the gap list previously created, prioritizes and assesses functionality gaps uncovered as a result of comparing identified requirements and Enterprise System functionality. Allows decisions to be made as to the next course of action regarding each gap	▪ Analysis of the package and business processes ▪ Options for resolving the gaps between package and processes including estimates of effort to implement them ▪ Implications of implementing the various options ▪ Selection of go-forward strategies based on the options documented	MS Word or an agreed Project manageme nt tool	3-10 pages
Business	Prioritized Gap List	Lists by process, the item as a gap or non-"fit" of the business process.	▪ Process Step ▪ Gap description ▪ Enterprise System application Impacted ▪ Business Priority of gap ▪ Organization Impacted ▪ Business goal to be met ▪ Competitive advantage to be achieved (e.g. streamlined regulatory environment compared to other states)	Spreadshe et	2-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Business	Process Definition Documents	Maps the business processes to performers (business roles and technology), Describes the interactivity, business logic, and conditional flow of the processes, Provides a common communication vehicle for the users, management, consultants, and technology implementation teams of the project, Understand and confirm the business system, the flow and relationships between the processes and activities, Provides a basis for the harmonization of processes across different geographic locations, Divisions or subsidiaries and identify the best of breed in execution	▪ Users and Stakeholders ▪ Naming Conventions ▪ Glossary, Definitions and Terminology ▪ Business Policies and Operating procedures Impacted ▪ Assumptions ▪ Key decisions ▪ Functionality Gaps Open Items, Issues, Concerns Risks and planned mitigations ▪ Scope Boundaries ▪ Triggers and suppliers ▪ Steps (including processing task(s), user role and Enterprise System, non-Enterprise System or Manual) ▪ Purpose ▪ Frequency ▪ Functional Requirements ▪ Development requirements ▪ Legal, regulatory and statutory requirements ▪ Measures (KPI's) ▪ Key differences from As-Is process ▪ Deferred requirements ▪ Related or affected processes	MS Word	20-40 pages
		Provides a basis for identifying problem areas within the existing processes and opportunity areas where process			

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Custom Development Definition Documents (Initial)	Documents the initial functional specifications for the required custom development objects/custom development objects - data conversions, interfaces, enhancements, reports/forms, workflow, and portals	▪ Description ▪ Associated business process ▪ Explanation of why standard Enterprise System not used to address requirements ▪ Business rules and Business requirements ▪ Security requirements ▪ Programming requirements ▪ Mapping or layout where appropriate ▪ Unit Testing Information and Expected results ▪ Batch Jobs ▪ Data Source ▪ System performance Impacts	MS Word	10-20 pages
People	Knowledge Transfer Monitoring Plan	Documents the process used to assess, enable, and monitor the knowledge transfer from SI consultants to team members in terms of Enterprise System implementation skills	▪ Scope ▪ Measurement of success ▪ Mechanisms to transfer knowledge ▪ Estimated Time frames ▪ Checkpoints ▪ Responsible parties ▪ Dependencies	MS Word	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	User Roles Definition	Documents the user roles in an enterprise-wide user role matrix (authorization list)	▪ Role Name, ▪ Role Owner ▪ Systems to be accessed ▪ General role characteristics ▪ Transaction Codes (commands) ▪ Authorization Objects	Spreadsheet	2-8 pages
People	Job Definition Documents	Documents the new job roles, responsibilities, and competencies required for successful Implementation. Job descriptions should enable employees to understand their relationships to others in the organization or business unit, and how to perform their jobs successfully. They are a key building block of the future organization and an input to plans to close human capability gaps	▪ Work tasks/responsibilities, ▪ Accountabilities ▪ Objectives, ▪ Competencies required ▪ Behaviors that should be demonstrated within the role ▪ Measurements for role performance ▪ Security authorizations required for access	MS Word	2-5 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	End User Education needs assessment	Assessment form that aims to refine the scope of end user education needs and verify the strategy previously defined	▪ Project Scope Assessment ▪ Training population profile ▪ Education and documentation requirements ▪ Training material development requirements ▪ Training support assessment ▪ Training logistics ▪ Training System requirements	MS Word	2-5 pages
Project Management	Finalized Scope document	Refine the scope defined in the Development Phase to manage the scope boundaries for the Development Phase and beyond	▪ Business and non-functional processes ▪ Enterprise System Applications Organization ▪ Technical Infrastructure custom development	Spreadsheet	15-25 pages
Technology	Technical Design Document	Documents outcomes from technical design workshops	▪ Back-up and restore requirements ▪ Disaster recovery strategy ▪ Non-functional Processes ▪ High availability requirements QA and Production sizing requirement ▪ Performance testing technical approach ▪ Tools ▪ Batch processing requirements ▪ Security Authorization requirements	MS Word	40-80 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Issue Log	Documents and manages project issues	▪ Contains fields to track and manage issues such as: Raised by, Issue identifier, description, Priority Date raised, Status, Issue consequences, Resolution Target date, Owner	MS Word or Agreed Issue Management Tool output report	2-8 pages
Project Management	Risk Log	Documents and mitigates project risks	▪ Contains fields to track and manage risks including: Raised by, ID, Name, Date risk identified, Status, description, Probability, impact, mitigation, Owner, Related actions, consequences	Spreadsheet or Agreed Risk Management Tool output report	1-5 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Development Phase Project Plan	Plan at a level of detail sufficient to direct the efforts of the project team in the upcoming phase and provide a baseline against which progress and change can be measured. The Integrated Development Phase Plan should allow the phase to be managed effectively and resource requirements to be understood within and across the domains	▪ Milestones ▪ Activities ▪ Responsibilities ▪ Sequencing ▪ Dependencies ▪ Key deliverables with dates time and effort required ▪ Resources	MS Project Plan	15-25 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Design Gate review package	Presentation and integrated walkthrough of paper-based design	▪ Integrated process overview diagram Level 2 process flows ▪ Integration Points ▪ Key design Decisions made ▪ Change Impacts ▪ Non-functional processes ▪ Final Design Scope and deltas to base-lined scope ▪ Complex Gaps and Finalized custom development list ▪ Key master data objects to be managed centrally ▪ Open design decisions ▪ Analysis of Design plan versus actual deltas	PowerPoint	10-15 pages

Exhibit 24: Design Phase Deliverables Table

Development Phase Deliverables:

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Detailed custom development Definitions (Final)	Documents the final functional specifications for the required custom development objects with custom development objects - data conversions, interfaces, enhancements, reports/forms, workflow, and portals	▪ Description ▪ Associated business process ▪ Explanation of why standard ▪ Enterprise System not used to address requirements ▪ Business rules and Business requirements ▪ Security requirements ▪ Programming requirements ▪ Mapping or layout where appropriate ▪ Unit Testing Information and Expected results ▪ Batch Jobs ▪ Data Source ▪ System performance Impacts	MS Word	10-20 pages
Process	Configuration Rationale Specification for baseline configuration scope	Initial configuration parameter settings and the decisions associated with choosing the settings	▪ Who performed the configuration ▪ Change management history ▪ Who approved the configuration ▪ Scenarios required to test the configuration ▪ How the configuration addresses the business process and organizational requirements	MS Word	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Custom Development Technical Specifications	These forms provide the different criteria to capture the technical design details for a custom/ application development	▪ Technical details ▪ Assumptions ▪ Issues ▪ Triggering event ▪ Screen details ▪ Data Source information ▪ Data Flow Diagram ▪ Pseudo Code ▪ Unit Test Plan ▪ Additional Information & Attachments	MS Word	15-25 pages
Technology	Custom Development Code	Programming code in the development system that is technically unit tested and ready for functional unit testing	▪ N/A	System Code	N/A
Process	Configuration Rationale Specification for final configuration scope	Final configuration parameter settings and the decisions associated with choosing the settings	▪ Who performed the configuration ▪ Change management history ▪ Who approved the configuration ▪ Scenarios required to test the configuration ▪ How the configuration addresses the business process and organizational requirements	MS Word	5-10 pages
Process	Clean Data	Data readiness for transformation and loading into the future environment	▪ All data objects in scope for population of the new system.	System Data	N/A

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Functionally tested custom development Objects	Custom development objects that have been technically pre-tested by the development team as part of custom development object development are now functionally unit tested to verify that development objects address functional specifications	▪ Test Cases ▪ Test Data ▪ Expected Results ▪ Test problem reports	Testing tool or an Spreadsheet	5-10 pages
Technology	Authorization Management Procedure	Define organizational responsibilities and procedures for administration tasks in user and authorization management including valid values	▪ Authorization Objects ▪ Authorizations ▪ Profiles ▪ User IDs ▪ Custom Authorization Objects ▪ Transaction Codes and Other Levels of Restrictions	MS Word	15-20 pages
Process	Functional Unit Test Plan	Harvest critical test conditions from within the Business Process Procedures. Verifies and validate the traceability and coverage of unit tests against the original business requirements and technical specifications	▪ Test schedule ▪ Scope ▪ Logistics ▪ Roles and Responsibilities ▪ Environment and data Requirements ▪ Problem Logging process ▪ Test Exit Criteria	MS Project plan or Spreadsheet	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Integration Test Plan	Document that consolidates test plans and activities	▪ Goals and Objectives ▪ Scope ▪ Completion Criteria ▪ Logistics ▪ Test Case List with estimated durations and resources ▪ Test Exit Criteria	MS Project plan or Spreadsheet	10-15 pages
Technology	Integration Test Scripts	Defines how a given business or technical requirement will be tested, including the expected outcome	▪ Business and technical requirements. ▪ Test scenarios categorized as high, medium, or low. This step may not be required if use cases are available. ▪ For each functional/sub-functional requirement, test conditions and outcomes ▪ Grouping of test conditions into test sets, ▪ Test Condition coverage matrix, identifying required test conditions for a test set. ▪ End to end test scenarios ▪ Daily / weekly / monthly Batch Testing conditions ▪ Month end / Quarter end and year end testing ▪ Security Access testing	Testing tool or an Spreadsheet	20-40 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Quality Assurance System	Allows testing to occur in a controlled environment	▪ System copied from development environment using real converted data. No functional changes may be made directly to QA system. They must be made to the development environment and promoted into QA	System	N/A
Technology	Performance Test Plan	Facilitates the processes of understanding system performance objectives in terms of response times and processing times. Measuring and analyzing system throughput and facilitating iterative application of related response times and processing time tuning changes	▪ List of test scenarios that represent critical activity ▪ List of transactions that make up that scenario ▪ Expected response times Measurement approach for each indicator ▪ Dependencies for each indicator ▪ Tools to be used ▪ Frequency that the performance data will be collected ▪ Data required to support execution ▪ Individual/groups responsible for performing the measurement ▪ Format of performance data output ▪ Number of iterative test cycles ▪ Test Exit Criteria	Doc	10-15 pages
Technology	Test Readiness Gate Review Package	Consolidation, assessment, and quality assurance of the completion of test system	▪ Configuration readiness ▪ Critical Development Objects Required for Cycle 1 readiness ▪ Functional Unit tests executed ▪ Data conversion readiness ▪ Test Exit Criteria	PowerPoint	10-15 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Business Process Procedures	Scripts written at the Enterprise System transaction code level. Cornerstones for prototyping, configuration, conversion projects, interface projects, system integration testing, and training. A script documents the detailed execution of a client's business process on Enterprise System	▪ Enterprise System menu path ▪ Enterprise System transaction code ▪ Enterprise System transaction description ▪ Screen prints (optional) ▪ Field by field description on how the transaction is executed ▪ Text describing the next action that a user would perform (e.g., hit the save folder, press the 'reference purchase order' push-button, etc.) ▪ Testing conditions	MS Word or other selected BPP tool	12-20 pages
Technology	Initial Data Migration Plan	Prepares for dry run data migration	▪ Steps ▪ Dependencies ▪ Durations ▪ Resources ▪ Data Cleansing rules ▪ Data Validation Rules	MS Project plan	10-15 pages
Process	Tested Development System	Proves that the individual configuration and development objects address their individual requirements as specified	▪ N/A	Unit tested System	N/A

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Control Requirements Form	Maps the business process control objectives to the business process procedures	▪ Identify controls that address the control objectives for each business process procedure	MS Word	15-25 pages
Technology	Training Related Systems	A system that adequately resembles the Enterprise System functionality that will be present in the future production system for the purposes of conducting hands on, system training exercises as well as a sandbox, learning management system and document repository	▪ Enterprise System Training system ▪ Enterprise System training sandbox ▪ Learning management system ▪ Training document repository	Systems	N/A
Technology	Data Migration Plan	Use to execute dry run data migration	▪ Steps ▪ Dependencies ▪ Durations ▪ Resources ▪ Data Cleansing rules ▪ Data Validation Rules	MS Project plan	10-15 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	User Role Matrix	Leveraging the user role definition outputs produced during the Design Phase, this is a Spreadsheet that definitively collects detailed attributes about user roles	▪ Role Name ▪ Role Owner ▪ Systems to be accessed ▪ General role characteristics ▪ Transaction Codes ▪ Authorization Objects	Spreadsheet	2-5 pages
People	End User Education Content	This deliverable stages and disseminates content for the various training delivery mechanisms which may include instructor-led training, computer-based training, simulation tools, quick reference guides, and online help systems	▪ Process flows, ▪ End user procedures ▪ Exercises	Training Tools TBD	N/A
People	Ongoing Education Strategy	This deliverable helps support training material and process updates, such that they are appropriate and serve the organization after Go-Live	▪ On-going materials review process ▪ On-going materials update process ▪ Post competency testing and follow-up ▪ New user induction	MS Word	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Batch Job Form	Describes a system processes that will be triggered automatically as part of the schedule of batch jobs to be periodically (real-time / near real-time / daily / weekly monthly) executed	▪ System ▪ Start time or trigger ▪ Description ▪ Job Name ▪ Steps, variants ▪ Job dependencies ▪ Days to run ▪ Frequency ▪ Estimated run time ▪ End time dependencies ▪ Long running escalation procedure	MS Word	1-2 pages
Technology	Batch Schedule	Sequential summary of batch job forms that defines batch execution schedules	▪ Job Name ▪ Criticality ▪ Frequency ▪ Trigger ▪ Frequency ▪ Business contact	Spreadsheet	1-5 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	Updated Company Policies and Procedures	Updated pre-existing company policies and procedures that are impacted by the Enterprise System Implementation as well as new policies that may be required to support the to-be environment. Includes a communication strategy to share bridging info with Training team lead for gap analysis	▪ Various policies in each of the key business departments ▪ Key gaps that are to be incorporated into education scope	MS Word	N/A

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Cutover Manual Including Cutover Plan	Drives and orchestrates the execution of the cutover from the project environment to the live production system	▪ Full body of configuration both manual and automatic ▪ Data conversion estimates for each object: Manual or automated ▪ A strategy to help enable manual data to be entered only once such that it is moved automatically to the rest of the systems. ▪ Duration of the processes ▪ Other objects that must be loaded before and given object ▪ Backup before to help in rollback of a particular load ▪ Number of parallel sessions will be created to help reduce the load time ▪ Determination of the application server's load distribution ▪ Data conversion estimates, the types of data, and how long the process can take ▪ Timing of when the conversions are performed ▪ Team leads for the cutover ▪ Roles and responsibilities and Availability plan for the involved people ▪ Company management involvement and decision-making designates ▪ Procedures for escalating issues and performing emergency fixes ▪ Procedures for ramping down legacy activity	MS Project plan and MS Word	8-20 pages
			▪ Reconciliation procedures to verify data is correctly converted to the new system ▪ Downtime procedures for manual off-system processing ▪ Contingency plans		

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	User Acceptance Test Plan	Describes how to set up the test and the acceptable system behaviors in response to the test. These behaviors are stated so that it will be obvious whether or not the system behaved according to specification. The objective is the system will be accepted formally if the acceptance tests are successful	▪ Introduction ▪ Purpose ▪ Scope ▪ Test Focus ▪ Test Objectives ▪ Acceptance Criteria ▪ Acceptance Process ▪ Approach ▪ Functions/Features to be Tested ▪ Functions/Features not to be Tested ▪ Work Items ▪ Entry and Exit Criteria for Level ▪ Test Function/Feature Pass/Fail Criteria ▪ Testing Tools and Techniques ▪ Suspension Criteria and Resumption Requirements ▪ Test Plan and Schedule ▪ Test Milestones Identified in the Project Plan ▪ Specific Test Activities for the Test Level ▪ Personnel Responsible for Test Activities ▪ Test Environment Requirements ▪ Risks and Contingencies ▪ Approvals ▪ Text Exit Criteria	MS Word	10-20 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Short Term Production Support Strategy	Documents input regarding production support expectations and requests from key users and aligns those to the short term support approach	▪ Overall objectives ▪ Support staff requirements ▪ Logistics ▪ Issue resolution flow ▪ Tools	MS Word	20-30 pages
Project Management	Issue Log	Documents and manages project issues	▪ Contains fields to track and manage issues such as: Raised by, Issue identifier, description, Priority Date raised, Status, Issue consequences, Resolution Target date, Owner	MS Word or Agreed Issue Management Tool output report	2-8 pages
Project Management	Risk Log	Documents and mitigates project risks	▪ Contains fields to track and manage risks including: Raised by, ID , Name, Date risk identified, Status, description , Probability, impact, mitigation, Owner , Related actions, consequences	Spreadsheet or Agreed Risk Management Tool output report	1-5 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Manageme nt	Final Preparation Phase Project Plan	Plan at a level of detail sufficient to direct the efforts of the project team in the upcoming phase and provide a baseline against which progress and change can be measured. The Integrated Final Preparation Plan should allow the phase to be managed effectively and resource requirements to be understood within and across the domains.	▪ Milestones ▪ Activities ▪ Responsibilities ▪ Sequencing ▪ Dependencies ▪ Key deliverables with dates ▪ Time and effort required ▪ Resources	MS Project plan	5-10 pages
Technology	Tested Quality Assurance System	Proves that the system components, data, configuration and development objects, when tested in unison integrate successfully to address expected results	▪ N/A	System	N/A
Technology	Production System	Pristine environment upon which cutover activities to take place	▪ System cloned from quality assurance environment	System	N/A

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	Executed Knowledge Transfer Plan	Executes the knowledge transfer plan defined in the previous phase including for the following knowledge areas: Governance, Risk and Compliance, Data Security and Privacy, Technical knowledge, and Functional knowledge	▪ Scope ▪ Measurement of success ▪ Mechanisms to transfer knowledge ▪ Estimated Time frames ▪ Checkpoints ▪ Responsible parties ▪ Dependencies	MS Word	5-10 pages
Technology	Site Infrastructure Deployment	Describes the organization, strategy, resources, and methods used to deploy the new application at client sites	▪ Issues associated with the migration to the new system. ▪ Support and site team organization and responsibilities ▪ Plans and Calendars, tasks and status information ▪ Risks and mitigations ▪ Critical Success Factors ▪ Contingencies ▪ Legacy system integration and removal planning. ▪ Hardware, printers, scanner, RF guns / site-specific software,	MS Word	20-40 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Development Phase Gate Review Package	Consolidation, assessment, and quality assurance of the completion of Development Phase activities	▪ System Build assessment ▪ Data conversion assessment ▪ Testing Assessment ▪ Training material readiness ▪ Business controls assessment	PowerPoint	15-20 pages

Exhibit 25: Development Phase Deliverables Table

Implementation Phase (Preparation) Deliverables:

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Issue Log	Documents and manages project issues	▪ Contains fields to track and manage issues such as: Raised by, Issue identifier, description, Priority Date raised, Status, Issue consequences, Resolution Target date, Owner	MS Word or Agreed Issue Management Tool output report	2-8 pages
Project Management	Risk Log	Documents and mitigates project risks	▪ Contains fields to track and manage risks including: Raised by, ID , Name, Date risk identified, Status, description , Probability, impact, mitigation, Owner , Related actions, consequences	Spreadsheet or Agreed Risk Management Tool output report	1-5 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	Updated Value Realization Action Plan	Finalizes the necessary steps the client must execute to help address the benefits identified in the Benefits Case	▪ Benefit Chains and the Value Realization Actions ▪ Integration with the Enterprise System work plan and Change Management activities. ▪ Measurable benefit definition ▪ Process, people, organization and technology change tasks required to achieve benefits ▪ Benefit Owners' proof of commitment	MS Word	3-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Performance tested systems	System performance is tested for whichever of the following components are in scope: ▪ Network response time ▪ Wide Area Network response time ▪ Data Center Network response time ▪ Server Network response time ▪ Portal response time ▪ Application Server response time ▪ Database response time ▪ SAN response time	▪ Execution of Performance Test Plan deliverable	System	N/A
Technology	Tuned Enterprise System System(s)	The purpose of tuning is to optimize system performance. Scope of tuning is driven by the outcomes of the performance test	N/A	System	N/A
Technology	Technical System Test Results	Documents results of executed technical systems tests	▪ Backup test ▪ Disaster recovery test ▪ Failover test	MS Word	2-6 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	End User Education Class Attendance Roster	Tracks end users who have attended class to allow decision making for Go-Live readiness assessment	▪ Date ▪ Class ▪ Location ▪ Trainer ▪ Trainee	Spreadsheet	1 page
People	End User Education Assessments	Survey determining training effectiveness to validate knowledge transfer, adjust minimum pass requirements, and determine follow-up mitigation plan	▪ Attendance ▪ Satisfaction (also referred to as “reaction”) ▪ Learning ▪ On-the-job applicability	MS Word	1 page
Technology	Finalized Data Migration Plan	Captures outcomes from dry run data migration to refine the finalized plan	▪ Steps ▪ Dependencies ▪ Durations ▪ Resources ▪ Data Cleansing rules ▪ Data Validation Rules	MS Project plan	10-15 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Final Frozen Cutover Manual and Cutover Plan	Refinement of the cutover manual and plan based on the outcomes from the mock cutover	▪ Full body of configuration both manual and automatic ▪ Data conversion estimates for each object: Manual or automate ▪ A strategy to help enable manual data to be entered only once such that it is moved automatically to the rest of the systems. ▪ Duration of the processes Other objects that must be loaded before and given object ▪ Backup before to help in rollback of a particular load ▪ Number of parallel sessions will be created to help reduce the load time ▪ Determination of the application server's load distribution ▪ Data conversion estimates, the types of data, and how long the process can take ▪ Timing of when the conversions are performed ▪ Team leads for the cutover ▪ Roles and responsibilities and Availability plan for the involved people ▪ Company management involvement and decision-making designates ▪ Procedures for escalating issues and performing emergency fixes ▪ Procedures for ramping down legacy activity	MS Project plan and MS Word	8-20 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Process	Data Validation Sign-Off	Sign-off of reconciled data migration as defined in the previous phase	▪ Data Migration plan with completion reconciliation acknowledgement	MS Word	10-15 pages
People	Business Continuity Plan	Protect against the unavailability of core business processes for an unacceptable period of time	▪ Continuity requirements (maximum tolerable downtime) ▪ Invocation criteria ▪ Communication procedures ▪ Paper-based forms and procedures ▪ Temporary Data Staging mechanisms ▪ Recovery and reconciliation procedures	MS Word	10-15 pages
Process	User Acceptance Sign-Off	Sign-off of conducted test plans as defined in the previous phase	▪ User Acceptance test plan with completion acknowledgement	Spreadsheet	15-25 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Help Desk Procedures	Lays out the ongoing activities and operational procedures for Service Desk support	▪ Who can log problems with the Help Desk; ▪ What kind of problems should be recorded in the Problem Management System ▪ What kind of problems are specifically excluded from the Problem Management System; ▪ Who is responsible for investigating and resolving a given problem (both Enterprise System and business process procedure problems); ▪ Who is responsible for escalating a problem; who is responsible for logging problems onto the software vendor's support system; ▪ Who is responsible for monitoring the progress of problem resolution; ▪ Who is responsible for closing a problem?	MS Word	40-60 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Archiving Needs Assessment	High level assessment of which areas to focus on for technical clean up. Does not include a comprehensive archiving strategy	▪ List of common tables to watch based on scope of Enterprise System functionality and knowledge of expected business volumes	MS Word	15-20 pages
Project Management	Implementation Phase Project Plan	Plan at a level of detail sufficient to direct the efforts of the Project team in the upcoming phase and provide a baseline against which progress and change can be measured. The Implementation Phase Plan should allow the phase to be managed effectively and resource requirements to be understood within and across the domains	▪ Milestones ▪ Activities ▪ Responsibilities ▪ Sequencing ▪ Dependencies ▪ Key deliverables with dates Time and effort required ▪ Resources	MS Project plan	2-5 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	Go-Live Checklist	Document used to manage readiness for Go-Live	▪ Contains readiness criteria, with owners, defined by the Project's key stakeholders in the following categories: - Organization readiness and User Acceptance - External community readiness - Business Ramp Down - Business Continuity plan and downtime procedure readiness - Non-system event readiness assessment - Data Readiness - Legacy rehabilitation and Divestiture - Post go-live Ramp-up readiness - Long term Production Support readiness - Cutover Infrastructure and Short term Production Support - System readiness - Production Change control Procedure readiness	Spreadsheet	5-10 pages
People	Approved Go-Live Checklist	Status management and communication mechanism to allow cutover to commence	▪ Go-live Checklist with acceptable readiness status	Spreadsheet	5-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Production System	Prepare the production system for use by executing the system build portion of the cutover plan	▪ N/A	System	N/A
Technology	Modified Legacy Systems	Prepare the legacy systems for their defined roles in the new post go-live landscape	▪ N/A	System	N/A

Exhibit 26: Implementation Phase (Preparation) Deliverables Table

Implementation Phase (Go-Live and Support) Deliverables:

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Technology	Executed Cutover Plan	Record of cutover completion	▪ The steps for previously defined cutover plan with completion indicators	MS Project plan	8-20 pages
Project Management	Executed Service Desk Knowledge Transfer Checklist	Verifies that knowledge transfer to the long term Service Desk has occurred	▪ Consolidation of Executed Knowledge transfer plans pertinent to the long term Support Organization	Spreadsheet	1-2 pages
People	Value Realization Analysis	Records the results of executing the previously defined value Realization Action plan	▪ Performance measurements ▪ Rewards ▪ Lessons Learned	MS Word	3-10 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
People	End User Education Effectiveness Report	Documents the value produced by the end user education effort and provides input to the ongoing education plan	▪ Evaluation of trainee performance ▪ Evaluation of trainer performance ▪ Evaluation of training content ▪ Assessment of client view ▪ Determination of extent of new skills transfer ▪ Measurement of business results ▪ Return on investment ▪ Summary of evaluation results	MS Word	5-10 pages
People	Ongoing Education Plan	This deliverable operationalizes the ongoing education strategy	▪ On-going materials review plan ▪ On-going materials update plan ▪ Post competency testing results and follow-up plan ▪ New user induction plan	MS Word	5-10 pages
Technology	Controls and Security Post Implementation Assessment	Verifies that the controls defined during the course of the project are effective in the production environment	▪ Risk and Controls Matrix (updated) ▪ Security Profile Matrix (updated) ▪ Post Implementation Controls Assessment	MS Word	5-10 pages
Technology	Upgrade / Enhancement Strategy	Documents release management procedures	▪ Procedures for requesting, documenting, authorizing, prioritizing, designing, building, testing and implementing enhancement releases or upgrades to the production system	MS Word	15-25 pages

Domain	Deliverable Name	Purpose and Definition	Sections / Content / Or Key Fields	Medium	Size / Pages
Project Management	Issue Log	Documents and manages project issues	▪ Contains fields to track and manage issues such as: Raised by, Issue identifier, description, Priority Date raised, Status, Issue consequences, Resolution Target date, Owner	MS Word or Agreed Issue Management Tool output report	2-8 pages
Project Management	Risk Log	Documents and mitigates project risks	▪ Contains fields to track and manage risks including: Raised by, ID , Name, Date risk identified, Status, description , Probability, impact, mitigation, Owner , Related actions, consequences	Spreadsheet or Agreed Risk Management Tool output report	1-5 pages
Project Management	Stabilized System	Verifies that responsibility for the resolution of system problems has been transferred to the long term support organization	▪ N/A	System	N/A
Project Management	Project Closeout Report	Documents that the completion criteria defined in the SOW have been met.	▪ N/A	MS Word	5-10 pages

Exhibit 27: Implementation Phase (Go-Live and Support) Deliverables Table

RISK MANAGEMENT

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project.

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated and closed throughout the project lifecycle.

Risk Management Plan

All phases of the project will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed and adhered to throughout all phases of the project. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the RLMS project. The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project. It is recommended that the following checkpoints in Exhibit 28 be followed during the project:

Task	Recommendation
Risk Management Plan	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Project Director and Project Sponsor.
Risk Management Reviews	As part of a disciplined approach to addressing project risks, Risk Meetings should be conducted during the project lifecycle at a frequency not to exceed monthly.

Exhibit 28: Project Risk Checkpoints

PROJECT PROCEDURES

PROJECT CHANGE CONTROL PROCEDURE

The SI will assist FDACS PPMO in maintaining a master log containing all proposed and implemented changes, whether proposed by the SI or requested by FDACS. The log will contain a reference to the following:

- Functional / Technical Evaluation
- Impact Assessment Prepared for FDACS
- Resolution Schedule (including date proposed, date accepted by FDACS, and date issue resolved)

The following process will be followed if a change to this SOW is required:

1. A Project Change Request (PCR) will be the vehicle for communicating change. The PCR must describe the change, the rationale for the change, and the effect the change will have on the project (schedule, budget, staff resources).
2. The designated Project Manager of the requesting party will review the proposed change and determine whether to submit the request to the other party.
3. Both Project Managers will review the proposed change and agree to implement it, recommend it for further investigation, or reject it.
4. The SI will specify any charges for such investigation. A PCR must be signed by authorized representatives from both parties to authorize investigation of the recommended changes. The SI will invoice RLMS for any such charges per the terms of the SOW and the agreement. The investigation will determine the effect that the implementation of the PCR will have on price, schedule, and other terms and conditions of this SOW and the agreement.
5. A PCR must be signed by authorized representatives from both parties to authorize implementation of any agreed changes to the SOW and the agreement. Until a change is agreed in writing, both parties will continue to act in accordance with the latest agreed version of the SOW.
6. A PCR that has been signed by authorized representatives from both parties constitutes a change authorization for purposes of the SOW and the agreement.

Except for detailed phase based project plans, deliverables referenced in the Deliverable Materials section that are led by SI and defined in Appendix: Deliverable Materials Guidelines will be reviewed and accepted in accordance with the following procedure:

1. One (1) printed draft of the deliverable material will be submitted to the RLMS Project Manager. It is the RLMS Project Manager's responsibility to make and distribute additional copies to any other reviewers.
2. Within five (5) business days of receipt, the RLMS Project Manager will either accept the deliverable material or provide the SI Project Manager a written list of requested revisions. If the SI receives no response from the RLMS Project Manager within five (5) business days, then the deliverable material will be deemed accepted.
3. The SI Project Manager will consider RLMS's timely request for revisions, if any, within the context of SI's obligations as stated in the Deliverable Materials Guidelines Appendix.
4. Those RLMS revisions agreed to by the SI will be made and the deliverable material will be resubmitted to the RLMS Project Manager, at which time the deliverable material will be deemed accepted.
5. Those RLMS revisions not agreed to by the SI will be managed in accordance with the Project Change Control Procedure Appendix.
6. Subsequent changes to an accepted deliverable will be managed in accordance with this procedure and the Project Change Control Procedure Appendix.

ESCALATION PROCEDURE

The Escalation Procedure describes a process for resolving conflicts that may arise during the Deliverable Materials Acceptance Procedures. The following procedure will be followed if resolution is required to a conflict arising during the performance of the SOW.

- When a conflict arises between FDACS and the SI, the Project team member(s) will first strive to work out the problem internally.
- Level 1: If the Project team cannot resolve the conflict within two (2) working days, the FDACS Project Manager and the SI Project Manager will meet to resolve the issue.
- Level 2: If the conflict still exists three (3) working days after being escalated to Level 1, the FDACS Executive Sponsor will meet with the SI Project Executive to resolve the issue.

If the conflict is resolved by either Level 1 or Level 2 intervention, the resolution will be addressed in accordance with the Project Change Control Procedure set forth in the Appendix.

northhighland
WORLDWIDE CONSULTING

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

REGULATORY LIFECYCLE MANAGEMENT SYSTEM (RLMS) STUDY PROJECT

RLMS Portfolio Analysis

Date:	09/14/2015
Version:	004

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Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
9/24/14	North Highland	001	Developed first draft of Portfolio Analysis
10/03/14	North Highland	002	Updated based on FDACS Walkthrough
10/10/14	North Highland	003	Updated based on North Highland QA
10/20/14	North Highland	004	Updated based on FDACS Review

Quality Review

NAME	ROLE	DATE
John Hicks, PMP	Project Manager	10/08/2014
Scott Rainey, PMP	Engagement Manager	10/08/2014
Steven Smith and Patrick Bragg	North Highland QA	10/09/2014

SECTION 1 INTRODUCTION

The North Highland team understands the Regulatory Processes Portfolio Analysis serves as a basis for building a business case and specifically provides input into Sections II and VI of a Schedule IV-B. To determine whether a system's functionality could be included in the future solution requires a significant effort.

SECTION 2 APPROACH

Our approach for developing the Portfolio Analysis was to first review Department-furnished data. North Highland worked with the Department to identify relevant data and answer questions resulting from subsequent data reviews. The North Highland team reviewed available process flows and data models for over 60 regulatory systems currently used across the Department. Based on the initial review of the existing data a high-level RLMS Framework was developed to frame the discussions in the interviews.

Exhibit 1: RLMS Framework

Once the North Highland team reviewed the available regulatory system data, we worked with the Project and Portfolio Management Office (PPMO) team to schedule meetings with system contacts/owners in order to understand each system's functions and the business processes it supports. We used the Department-furnished data to tailor the discussion for each interview, allowing us to ask targeted questions about each system and its related business processes.

More detailed information about each system was gathered including system data sources and volumes, data flows, issues and challenges, opportunities, and information requirements. More than 20 interviews were conducted over a four-week period, including meetings with stakeholders from the Divisions, Offices, PPMO, as well as with the Office of Policy and Budget. Each interview included the following topics for discussion:

- Current Hardware and Software Environment
- Data Sources and Volumes
- Data Flow/Architecture Review
- Issues, Challenges, and Opportunities
- Future State Requirements
- RLMS Roles in the Business Process

SECTION 3 GENERAL ANALYSIS

3.1 SUMMARY OF THE CURRENT HARDWARE AND SOFTWARE ENVIRONMENT

The Department's regulatory charge encompasses the issuance of licenses, permits, registrations, and certifications as well as efforts to assist businesses and individuals with maintaining compliance with laws and regulations. The missions of the Divisions and Offices are diverse and so are the applications and systems that support them. For example, the Divisions and Offices require applications and systems to support water quality best practices, citrus disease identification and control, testing for chemical residue in food, fair ride safety, petroleum product integrity, tracking the health of farm animals, and issuance of concealed weapons licenses.

Thirteen of the Department's twenty-four divisions and offices directly manage regulatory programs. The regulatory application portfolio itself contains approximately 60 applications. The Florida Department of Agriculture and Consumer Services (FDACS) Regulatory Application Portfolio Profile provides information about each application that plays an important regulatory support role. The composition of the application portfolio ranges from legacy systems nearing the end of life to systems that have been recently deployed. The systems range from large-scale web applications to a collection of single purpose Microsoft Access databases. The portfolio includes custom applications, commercial-off-the-shelf (COTS) solutions, and significantly customized COTS solutions. These applications provide varied functionality that includes, but is not limited to, the following:

- Applicant/Registrant Tracking
- Geographic Information System (GIS) Mapping
- Document Management Integration

- Mobile Inspections and Customer Access
- Case Management

The current application portfolio results in disjointed functionality that could be leveraged at an enterprise level to improve business processes. For example, various regulatory business programs require document imaging functionality. However, the current application portfolio restricts access to documents within the program area in certain instances. In other instances, business programs use stand-alone imaging systems that do not interact with the primary regulatory application while other program areas lack access to imaging in any form or fashion.

Many programs experience similar problems with respect to case management functionality. Numerous regulatory areas do not have case management functionality, which results in information being transferred through manual delivery of file folders. These divisions and offices would benefit from a true enterprise case management system, allowing an incident to be tracked from inception to resolution - even across divisions.

For more details on each individual system refer to the Master Regulatory Portfolio.

3.1.1 Hardware and Software Cost

To maintain the current systems the Department maintains some of those hardware and software environments centrally and some are maintained by the Division or Office that owns the system. The table below provides the current hardware and software cost for the systems maintained centrally by the Department.

Servers	Hardware Expense		Software Expense	
	Initial Cost	Yearly Support	Initial Cost	Yearly Support
Production				
ORAPROD1/SUNGIS2 (Solaris M10-1) AGR Oracle Enterprise Database DOA Oracle Enterprise Database EGIS Oracle Enterprise Database MOBL Oracle Enterprise Database PICS Oracle Enterprise Database	$23755.00	$3186.00	$80000.00	$20000.00

Servers	Hardware Expense		Software Expense	
	Initial Cost	Yearly Support	Initial Cost	Yearly Support
DOF Oracle Enterprise Database LIMS Oracle Enterprise Database LIMS Oracle Enterprise Database	$23755.00	$3186.00	$60000.00	$15000.00
ORAPROD2 (Solaris T5220) DOCS Oracle Enterprise Database	$8800.00	$540.00	$60000.00	$15000.00
SUNZONE4 (Solaris T5220) OASPROD - Weblogic 11g SUNOAS - Application Server - 10g SUNORA4/5 - CMAN	$8800.00	$540.00	$17600.00	$7500.00
FLAME (Solaris V210) Fire Weather Service	$6000.00	$1944.00		
BLAZE (Solaris V215) Fire Weather Service	$6000.00	$1088.00		
LTO6 Tape Drives (3)	$6375.00			
Development/Test				

Servers	Hardware Expense		Software Expense	
	Initial Cost	Yearly Support	Initial Cost	Yearly Support
ORADEVTEST (Solaris T4) AGRDV Oracle Standard Database AGRTE Oracle Standard Database DOADV Oracle Standard Database DOATE Oracle Standard Database EGISDV Oracle Standard Database EGISTE Oracle Standard Database MOBLDV Oracle Standard Database MOBLTE Oracle Standard Database MOBLTR Oracle Standard Database PICSDV Oracle Standard Database PICSTE Oracle Standard Database DOFDV Oracle Standard Database DOFTE Oracle Standard Database LIMSDV Oracle Standard Database LIMSTE Oracle Standard Database DOCSDV Oracle Standard Database DOCSTE Oracle Standard Database	$16000.00	$3000.00	$24000.00	$4800.00
SUNZONE5 (Solaris T5220) OASDEV - Application Server - 10g OASTEST - Application Server - 10g	$8800.00	$540.00	$8000.00	$2000.00

Exhibit 2: Current Hardware and Software Cost

3.2 Data Sources and Volumes

In the current FDACS environment, data is stored in multiple databases. Over time, each Division and Office developed unique databases as the need arose without centralized, enterprise oversight. This approach has led to:

- **A general lack of consistency across the data elements and definitions.** The data is physically stored across a variety of platforms and formats such as Oracle, SQL Server, MS Access, and MS Excel.
- **A considerable degree of duplication of data across the department** and even within single divisions. In many cases, the same type of information is stored by each program area or Division, but with different formats.

The exhibit below outlines the number and type of regulatory data systems by department.

Division/Office	Number of Regulatory Data Systems
Division of Administration	▪ 5 Oracle
Division of Agricultural Environmental Services	▪ 6 Oracle ▪ 3 MS Access
Division of Animal Industry	▪ 2 Oracle ▪ 1 SQL Server ▪ 4 MS Access
Division of Aquaculture	▪ 1 SQL Server ▪ 4 MS Access
Division of Consumer Services	▪ 4 Oracle ▪ 2 Access
Division of Food Safety	▪ 2 Oracle ▪ 1 SQL Server ▪ 1 Access
Florida Forest Service	▪ 1 Oracle
Division of Fruit and Vegetables	▪ 4 Oracle ▪ 1 SQL Server ▪ 1 Salesforce
Division of Licensing	▪ 1 Oracle ▪ 3 SQL Server
Division of Marketing and Development	▪ 1 Oracle
Division of Plant Industry	▪ 5 Oracle ▪ 1 Access

DIVISION/OFFICE	NUMBER OF REGULATORY DATA SYSTEMS
Office of Agricultural Law Enforcement	▪ 2 Oracle ▪ 1 SQL Server
Office of Agricultural Water Policy	▪ 1 SQL Server

Exhibit 3: Current Data Systems Overview

3.3 DATA FLOW

A Regulatory Lifecycle Management System (RLMS) covers many processes, as shown in exhibit 1: RLMS Framework. Each process has its own data inputs and outputs. The exhibit below highlights the Suppliers, Inputs, Processes, Outputs, and Customers (SIPOC) in the RLMS Framework.

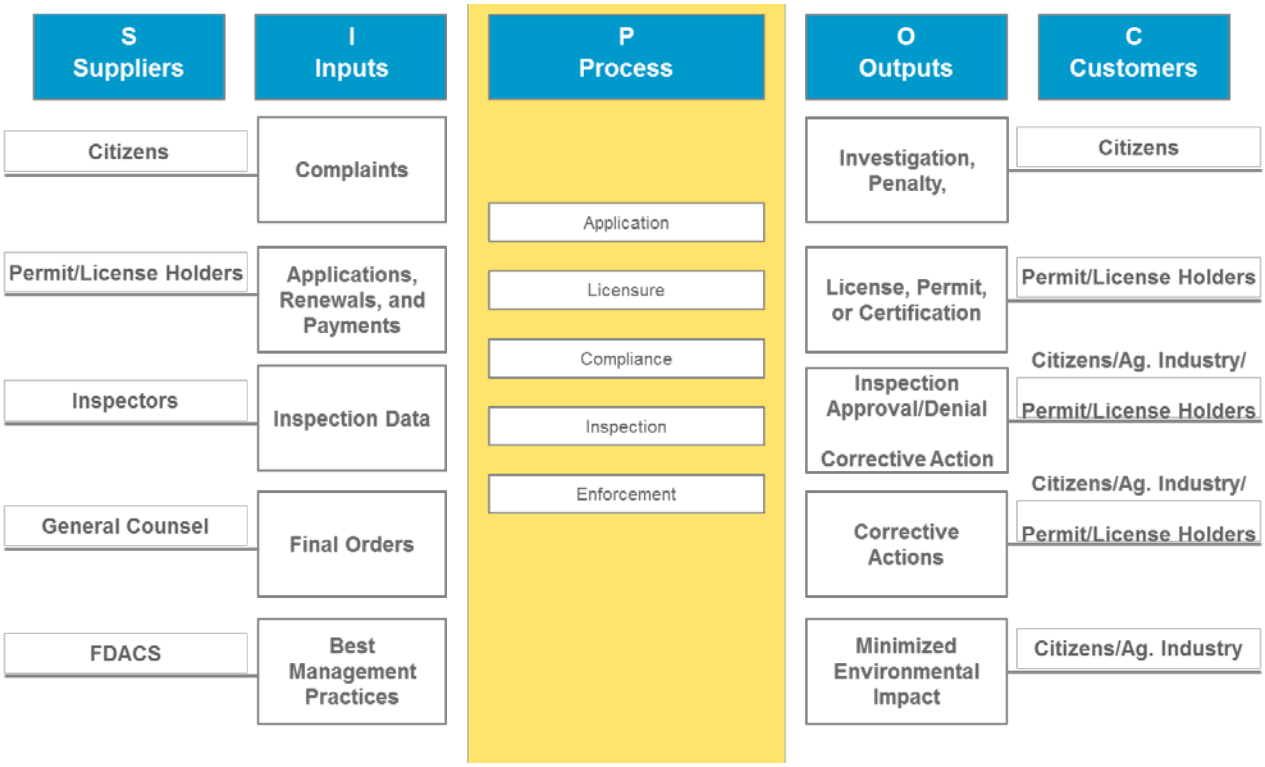

Exhibit 4: RLMS SIPOC

3.4 Issues and Challenges

As stated above, FDACS has over 60 systems supporting the regulatory and licensing function across its divisions. While many divisions have similar processes, each Division executes those processes differently. For example, many program areas include inspections, but the process of documenting inspections ranges from a handwritten process to using a mobile software solution. Having so many disparate systems and processes comes with inherent risk and issues. In the spring of 2013, the Office of Agricultural Technology Services conducted an analysis of data structures used in some of the Department's applications and found that inspection information existed in 166 different locations, the label "address" in 158, and "name" in 472.[1] The exhibit below outlines the current issues and challenges related to the regulatory processes, and the business impact.

Issues and Challenges	Implication[2]	Business Impact		
		Increased Risk	Decreased Efficiency	Increased Cost
Disparate regulatory systems	▪ Higher maintenance costs ▪ High response time to data inquiries ▪ No single view of the customer ▪ No single view for the customer ▪ Higher risk to security, stability, and disaster recovery	✓	✓	✓
Multiple inspector roles and visits required for large sites	▪ Poor customer experience ▪ Decreased transparency ▪ Inefficient use of resources	✓	✓	✓
Decentralized IT budgets, resources	▪ Increased risk of resistance to change	✓	✓	✓
Manual data entry and collection	▪ Inefficient use of resources ▪ Increased risk of errors	✓	✓	✓

[1] FDACS Executive Summary, Regulatory Systems and Programs Feasibility Study Preparation, 2014
[2] Versus Industry Standard

Issues and Challenges	Implication[2]	Business Impact		
		Increased Risk	Decreased Efficiency	Increased Cost
Lack of fully exploited technology capabilities (e.g. GIS)	▪ Cost is not distributed across department ▪ All divisions cannot take advantage of available technology		✓	✓
Having multiple Department e-commerce front-ends	▪ Poor customer experience ▪ Difficult reconciliation process	✓	✓	✓
Several Divisions have recently undertaken Division-level regulatory system enhancements/ deployments	▪ Increased risk of resistance to change	✓		
Past negative experience with vendors	▪ Increased risk of resistance to change	✓		
Current system tailored to current needs and enterprise standards could be viewed as a step back	▪ Increased risk of resistance to change ▪ Resistance to process standardization	✓		

Exhibit 5: Current State Issues and Challenges

3.5 Opportunities

The exhibit below outlines the opportunities related to the regulatory processes and the potential benefits.

Opportunity	Potential Benefit
Enterprise RLMS System	▪ Reduce maintenance costs ▪ Provide a single interface for all Department staff ▪ Provide economies of scale – new features can be shared across the Department ▪ Provide the customer with one environment
Enterprise View	▪ Provide better access to data for decision making ▪ Reduce response times for data request ▪ Provide a single view of the customer ▪ Enable more efficient use of resources ▪ Enable better data sharing ▪ Enable better transparency
Document Management	▪ Reduce the need to store physical files ▪ Provide the ability to search for documents using metadata

Opportunity	Potential Benefit
Risk-based Inspection	▪ Enable better use of resources ▪ Prioritize inspectors to the highest risk entities
Enhanced Workflow	▪ Decreased risk of losing track of actions ▪ Ability to track key performance metrics ▪ Reduce the need for manual processes
Leverage GIS Across the Department	▪ Take full advantage of existing GIS infrastructure ▪ Increase efficiency in the deployment of inspectors ▪ Increase efficiency for inspections ▪ Provide better data for decision making
Emergency Response	▪ Provide quicker response during emergencies ▪ Provide more timely access to data during emergencies

Exhibit 6: Future State Opportunities

3.6 Information Requirements

During interviews, the team found several divisions and offices that are currently sharing data within the Department or would benefit from sharing data. Additionally, some divisions and offices are required to share data with external stakeholders including federal agencies, agricultural industries, local organizations, universities, and the public. Currently, most of these information exchanges are manual processes. The matrix below shows current and desired information sharing needs for the divisions and offices North Highland interviewed.

	Shares, or Desires to Share, Data With:	
Division/Office	Internal	External[3]
Division of Administration	▪ All FDACS Divisions and Offices	▪ Florida Department of Financial Services
Division of Agricultural Environmental Services	▪ Office of Agricultural Law Enforcement	▪ Department of Revenue ▪ The University of Florida's Institute of Food and Agricultural Sciences (UF/IFAS)
Division of Animal Industry	▪ Office of Agricultural Law Enforcement ▪ Division of Food Safety ▪ Division of Agricultural Environmental Services ▪ Division of Aquaculture ▪ Division of Plant Industry ▪ Florida Forest Service	▪ United States Department of Agriculture (USDA) ▪ Department of Health ▪ Florida Division of Emergency Management

[3] All Divisions and Offices are subject to public records request

Division/Office	Shares, or Desires to Share, Data With:	
	Internal	External[3]
Division of Aquaculture	▪ Fish and Wildlife Commission ▪ Office of Agricultural Law Enforcement ▪ Division of Animal Industry ▪ Division of Food Safety ▪ Division of Agricultural Environmental Services ▪ Division of Plant Industry ▪ Division of Marketing and Development	▪ N/A
Division of Consumer Services	▪ All FDACS Divisions and Offices (Case Management)	▪ N/A
Division of Food, Nutrition, and Wellness	▪ Division of Food Safety	▪ Florida Division of Emergency Management ▪ USDA
Division of Food Safety	▪ Office of Agricultural Law Enforcement	▪ USDA ▪ Food and Drug Administration (FDA)
Florida Forest Service	▪ Division of Agricultural Environmental Services	▪ Florida Division of Emergency Management
Division of Fruit and Vegetables	▪ Office of Agricultural Law Enforcement ▪ Division of Plant Industry ▪ Division of Food Safety	▪ USDA
Division of Licensing	▪ Florida Department of Law Enforcement	▪ N/A
Division of Marketing and Development	▪ Division of Plant Industry ▪ Division of Food Safety	▪ N/A
Division of Plant Industry	▪ Office of Agricultural Law Enforcement ▪ Division of Food Safety ▪ Division of Agricultural Environmental Services ▪ Office of Agricultural Water Policy	▪ USDA ▪ UF/IFAS ▪ Department of Citrus
Office of Agricultural Law Enforcement	▪ All FDACS Divisions and Offices (Case Management)	▪ Florida Department of Law Enforcement ▪ Department of Revenue ▪ Department of Transportation ▪ Florida Division of Emergency Management

Division/Office	Shares, or Desires to Share, Data With:	
	Internal	External[3]
Office of Agricultural Water Policy	▪ Department of Environmental Protection	▪ Water Management Districts

Exhibit 7: Agency Information Sharing

SECTION 4 MASTER DATA MANAGEMENT (MDM) ANALYSIS

MDM provides a formal process for managing how common (master) data is used across the enterprise. Regulatory data is currently managed in each of the 60+ regulatory applications. As described in detail throughout this section, FDACS faces many data challenges. The current application approach to data causes inconsistent, redundant, and erroneous data, which leads to customer confusion and dissatisfaction. These data problems hamper management and customer visibility into business activities. These problems also consume valuable staff time resolving issues caused by bad data. MDM addresses these issue by greatly reducing redundant, inconsistent, and invalid data across the enterprise. MDMs enterprise level perspective is required for moving from a disconnected divisional view of the customer to an accurate and timely 360-degree view of the regulatory processes.

There are two basic MDM implementation approaches for the FDACS regulatory applications. The first involves implementation of MDM as a standalone solution which focuses on data issues. This is referred to as Option 1 in the Business Case. The second approach involves leveraging the MDM capabilities provided as part of a regulatory COTS product (Options 2&3 in the Business Case). The COTS approach will involve both data and business processes. The Implementation Plan provides detailed descriptions of the necessary COTS data and process transformation steps.

There will be a significant organization impact no matter which option MDM implementation option is chosen. They all require a fundamental shift from an application to enterprise perspective.

4.1 MDM Standalone Benefits

The intent of an MDM solution is to provide access to an enterprise perspective of FDACS' data. This requires the design and implementation of an enterprise data model and corresponding enterprise data repository (warehouses/data marts). An MDM Standalone solution provides many benefits:

- Improved decision-making due to broader analysis, timely intelligence, better accuracy of data, and greater system stability

- Lower operational costs due to streamlined reporting and planning procedures, as well as elimination of manual process redundancies
- Greater understanding of the organization due to cross-dimensional analysis
- Streamlined audit and compliance
- Measurable reduction of inconsistencies and reporting errors
- Significant cost reduction from updating master data across all systems
- Risk reduction due to dedicated tools to manage financial master data instead of unstructured processes based on Excel spreadsheets, emails, and phone calls

4.2 Using COTS to Drive MDM and Process Standardization

One option for implementing MDM is to leverage a COTS package as the MDM foundation. These In other words, since COTS packages provide an integrated set of enterprise data models and tools, use a COTS package as the starting point for the MDM implementation.

In addition, the right COTS package extends the data standardization benefits to include business process standardization that is needed to achieve most of the strategic goals documented in this study. Process standardization will simplify MDM because it will eliminate many of the causes of bad data. Cleaning the data without fixing the underlying business processes will ultimately re-contaminate the data.

The MDM COTS implementation will address the Department's regulatory business process and data standardization issues listed below (please see the Business Case for a complete list of business benefits):

- Paper based, labor-intensive processing, and manual data entry
- Redundant and disparate permitting, licensing, compliance applications, and data
- Disjointed and sometimes inaccurate view of compliance levels
- Poor visibility into processes, statuses, and workflows across divisions and program offices
- Lack of overall timely, accurate, and efficient billing and collections
- Allow the organization to make informed decisions
- Increase permit processing efficiency
- Enable business-friendly regulatory processes with self-service available online
- Reduce submission error rates
- Support field-based staff through increased usage of mobile applications

4.3 DATA ELEMENTS USED ACROSS REGULATORY SYSTEMS AND DUPLICATION OF DATA

The following sections summarize the current state of the Department's data including risks and opportunities. Tactical and strategic steps needed to realize MDM for the proposed RLMS system are then discussed. Finally, a brief overview of MDM Standalone tools is provided.

In reviewing the data elements used across the Divisions and Offices, certain key findings were identified:

- **General lack of architectural data consistency**. The data is physically stored across a variety of platforms and formats such as Oracle, SQL Server, and MS Access, MS/Excel. According to FDACS Workgroup 2013—Inspection Data Standardization Notes, the eight divisions that provided database information reported that "inspection data is housed in 28 different databases on 6 different software platforms." This makes an enterprise perspective of data impossible without significant manual collection efforts. The proliferation of data across database, spreadsheets and word documents, also prevents automated data integrity enforcement.
- **Considerable degree of data table duplication across and within divisions.** In many cases, the same type of information is stored by each Division, but with different formats. This limits the ability to query data and implement data quality safeguards such as referential integrity.
- **Issues with data field redundancy**. The *FDACs Workgroup 2013 – Words Commonly Used in Field Names* document lists possible redundant data fields. For example, 472 fields referred to some type of "Name," and "Address" information was stored in approximately 158 data fields. This proliferation of data elements leads to data redundancy and creates major obstacles for maintaining data consistency and integrity.
- **Use of inconsistent terminology across the organization.** The FDACS Workgroup called out the lack of consistent terminology across the enterprise. For example, inspection is referred to in 166 places using many different synonyms (i.e. audit, visit, inspect, activity, inspection, call, review, and date). This limits internal and external data transparency.

Modern Enterprise Data Warehouses and COTS applications rely on data relationships (referential integrity) to enforce data integrity at the database level. For example, "inspection" data could not be entered for a Walmart store that doesn't exist in the related "Store" table. Referential integrity can also synchronize changes across sets of related table. For instance, if the "Store Name" changes, that change can be cascaded down to all the related tables. The Department's use of generated primary keys is likely masking referential design flaws within tables. This inhibits the effectiveness of database enforced data integrity. Database enforced data integrity is further degraded by the disbursement of data across platforms such as MS Excel, which provide limited data integrity capabilities.

4.3.1 Risk and Opportunities Table

Risks	Opportunities
The current divisional approach is leading to data and process issues and will continue to degrade Department data.	▪ The enterprise database foundation for either MDM standalone or COTS products can be used as the foundation for MDM within the Department. A COTS RLMS platform brings an inherent MDM framework. If just MDM standalone tool were used, it would provide industry data models that are used to guide the implementation of MDM on top of the Department's current systems. ▪ The implementation of an MDM standalone or COTS product shifts the data from a Division focus to an enterprise focus. ▪ MDM standalone or COTS implementations are often used as a forcing function for data clean up.
Data inconsistencies will increase risks of migrating to an enterprise solution. For example, FDACS's current approach of "generated primary keys" may be masking serious database design flaws which could lead to catastrophic failures during migration to a COTS package.	▪ A risk-based approach to data cleansing prioritizes cleaning efforts on data elements which have the greatest impact. Initial efforts will focuses on primary and foreign keys, then shift to essential data elements and gaps (for additional details, please see Near Term Data Preparation Steps). ▪ The new MDM or COTS data enterprise solution will have referential and other constraints. Once the data is migrated to this environment, the database will help enforce basic data quality. ▪ Mapping of source to target data will drive analysis and resolution of data redundancy and inconsistency.
The Department may not complete all cleansing of data prior to initial kick-off of the RLMS project	▪ The Near Term Data Preparation Steps (found below), describes high priority steps that can be taken before the award and start of the action project. This enables FDACS to minimize data risks during the actual migration and reduce System Integrator costs. This initial process could be done using existing software and resources. ▪ An incremental approach to implementation provides necessary focus and manageable migration phases.

Exhibit 8: Current Data Risks and Opportunities

4.4 MDM Future State Recommendations and Considerations

This section provides perspectives on the various tactical steps that can be taken to prepare for the RLMS project. This section also details a longer term roadmap to successfully implement MDM within the Department.

4.4.1 Near Term Data Preparation Steps

The following steps can be taken immediately to help prepare for an enterprise data solution.

1. Establish an MDM governance team with governance and decision making authority and procedures.
2. Reach out to agencies in other States that have deployed regulatory enterprise systems for information on their essential data types and migration lessons learned.
3. An underlying enterprise data model will be provided by the MDM standalone or COTS vendor. These models will be used to drive data cleanup and migration. Since the final vendor model will not be identified before vendor selection, an initial (essential) data model can be created based on essential data elements from similar State regulatory implementations. This will enable FDACS to begin working on data cleanup before receiving the vendor models. The following figure illustrates an example of an Essential model for Enforcement (one of the major business areas). It shows the primary tables and the types of relationships between them.

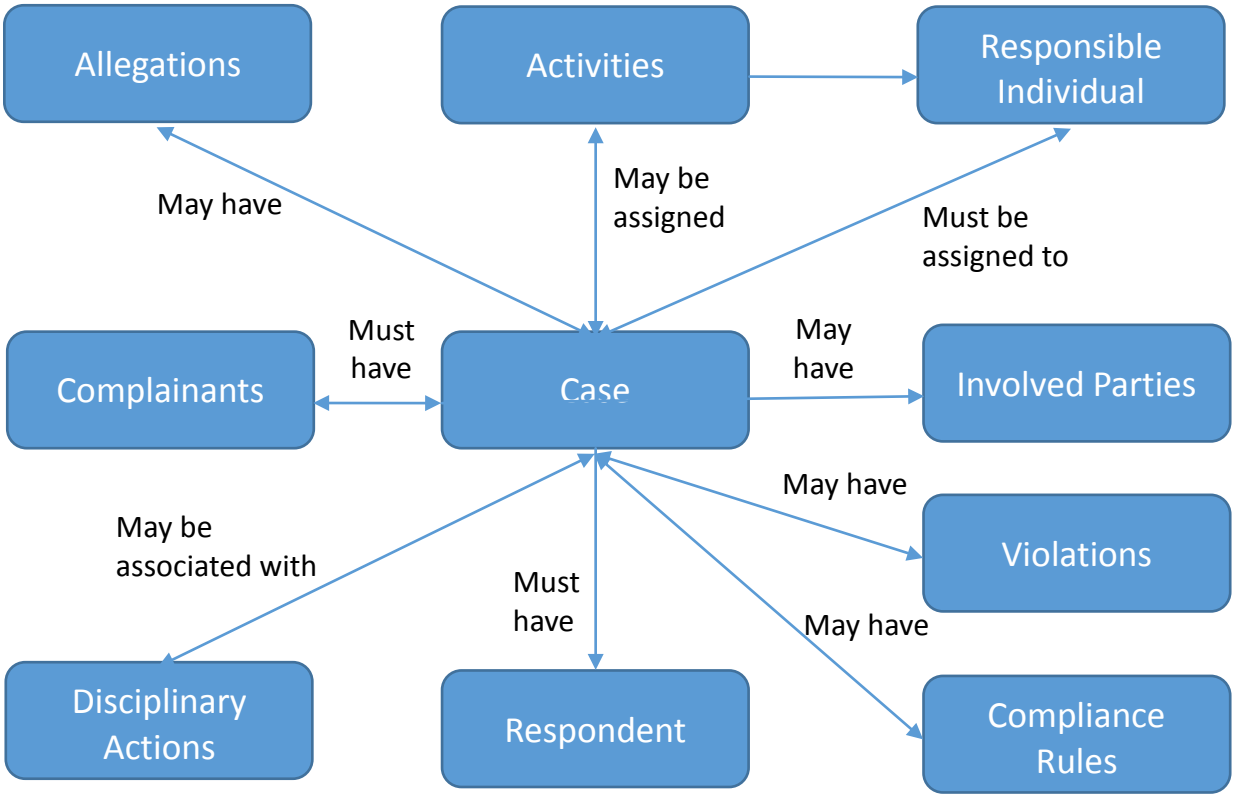

Exhibit 9: Sample Entity Relationship Model of Essential Enforcement Data

4. Perform "Risk Based" mapping from "As Is" environments into essential "To Be" data elements based on the essential data models (e.g. See exhibit 8). Focus on populating Primary and Foreign Key data.
5. Establish mock migration environments and create essential tables.

6. Perform mock loads and perform analysis and remediation of issues. Look for failure patterns that can be corrected by programs and those which need to be corrected by hand.
    a. Mock loads will focus on getting a few sample rows into a consistent format that will successfully load into the database. The goal is to get a better understanding of essential data sources and the transformations that will be required, not to get bogged down in data cleansing of every single data element. Microsoft Excel can be used to gather and do basic data reformatting. To simplify the process, referential integrity should be turned off until the reformatted data is loading correctly.
    b. The second step involves turning referential integrity on for a set of related tables, loading those tables, and letting the database kick out errors. Please note, the load sequence for this set of tables is based on referential constraints (i.e. parent tables will need to be loaded before tables that reference them).
    c. The third activity involves extending the analysis to include essential, non-key data. This could be done using Microsoft Excel and simple SQL database queries. For instance, if two data sources are believed to store the same data one would expect to find similar levels of cardinality. Freeware tools are also available to assist with this analysis, i.e., Toad for SQL Server Freeware.

4.4.2 Long Term MDM Strategy

MDM does not end when the RLMS project starts. This section outlines a long range approach to implementing MDM within the context of an enterprise regulatory solution. This strategy includes the following:

- Initial list of data elements that will ultimately be managed as part of this effort
- Business requirements
- Master data tools and architectural recommendations
- Requirements traceability
- Data governance recommendation
- Data cleansing and migration recommendation
- Roadmap of projects to implement MDM and data governance

Data quality activities are embedded throughout the methodology and represent the progression of gaining an understanding of the source data, evaluating how the source data meets the target data requirements, determining the cleansing necessary for the source data, and harmonizing and combining the data to aggregate information to make up a complete domain. Gathering functional business requirements and existing constraints is a critical step in defining any MDM solution. These initial business requirements are described as part of the IV-

B. These requirement form the baseline for an ongoing process of evaluating transactional and master data systems, data maintenance, and data integration approaches.

The effort to collect business requirements for the RLMS Enterprise Master Data Strategy must focus on the following areas:

MASTER DATA	ANALYSIS BY DIVISION/OFFICE APPLICATION AREA
Current landscape	Identifying the source systems for master data (e.g. customers, violations, certifications, etc.) in the as-is landscape.
Data Quality	Gathering the perceived data quality issues in master data and business imperatives for data cleansing needs.
Data Governance	Understanding data governance practices across divisions for effective alignment and transition.
MDM Readiness	Assessing enterprise readiness for master data scenarios by essential data entities and available options for addressing the current issues.
Security & Compliance	Determining the security and compliance requirements for master data.
Business Pain-Points	Understanding the business pain-points in essential data maintenance and usage in the organization and priorities for addressing such issues.

Exhibit 10: RLMS MDM Focus Areas

4.4.2.1.1 HIGH LEVEL ROADMAP

The following criteria need to be established to evaluate the MDM Roadmap options for the RLMS.

- Organizational Readiness
  - Determine the current state of the master data entities.
  - Confirm master data entities are ready for MDM consolidation/rollout.
- Alignment with Deployment Schedule
  - Align data readiness schedule with the application deployment schedule.
  - Identify the major master data problem areas in the RLMS and prioritize and resolve those problems according to the impact of the problem area.
- Implementation Risk
  - Coordinate with divisional master data projects to remove parallelism.
  - Account for the additional effort required by the remaining parallel efforts.
  - Account for the effort required by retro-fit work.

4.4.2.1.2 IDENTIFICATION OF DATA SETS AND DATA SOURCES

The first step in this process is reaching general agreement on the general definitions of expected data requirements for each functional area (i.e. Application, Licensure, Compliance, Inspection, and Enforcement). The MDM governance team will work with the Divisional Project Teams to identify the essential data sets that will be used to build the master data from the various systems and data repositories. This will be accomplished via facilitated sessions to determine target data sets as candidates to support the business processes, followed by data discovery activities to locate and assess the target data. This discovery phase could include identification of data sets that need to be created for divisions that may have data gaps.

FDACS Workgroup studies have documented the fact that critical data is housed in a number of repositories. FDACS will need to leverage these workgroups to identify and evaluate the data sets to produce the most reliable and valid data. Initial studies have identified over 1,126 tables. This work will need to be continued to inventory non-table sources including Excel spreadsheets.

There are a number of approaches that can be applied to identify valid data sets, affirm their quality, and identify clean-up initiatives to be addressed as a part of the Implementation Plan and Cost Analysis:

- **Data Discovery Profiling** – Data discovery profiling identifies which data sources may contain needed information. For example, if “Date of Service” is a critical aspect of determining outcomes, profiling may be used to “find” this date field within a specific data set or across data sets.
- **Data Quality Profiling** – Data quality assessment profiling determines the quality of the source data feeding downstream processes. Profiling provides statistical information regarding the distribution of data values and associated patterns assigned to each data attribute, and it can include identification of the range of values in a particular field, assessment of format and patterns, the relationship of a target element to others in the data set, and identification of missing values.

4.4.2.1.3 DATA QUALITY DIMENSIONS

Data quality dimensions are aspects or features of quality. They provide an approach for FDACS to measure and manage the quality of data and information. In managing and accessing data quality, key dimensions are used to evaluate data integrity and to obtain a complete understanding of the data’s health. The following dimensions will be used by FDACS to evaluate enterprise data quality of each data source that will be used in the new enterprise application:

- Validity
- Accuracy

- Timeliness and Availability
- Completeness
- Specifications
- Uniqueness
- Perception
- Consistency and Synchronization

Validity - This dimension measures the existence, structure, content, and other basic characteristics of data. It includes essential measures such as completeness, lists of values and frequency distributions, patterns, ranges, maximum and minimum values, and referential integrity. The measurement of this dimension is based on the metadata available for the data in question allowing us to determine valid values and other specifications to which the data must adhere. Profiling tools are often used to assist in the measurement of this dimension.

Accuracy - Data accuracy requires comparing the data to what they represent (the authoritative source of reference). Conducting this assessment is usually a manual process and will be carefully planned to identify the method to access the authoritative source of reference. Accuracy assessments, like most other areas, begins small samples and expands based on issues identified.

Examples of measuring accuracy can be:

- Comparing values of an element against the official system of record
- Comparing against external sources

Timeliness and Availability - This dimension refers to the degree to which data is current and available for use as specified and in the period in which they are expected.

Data values change over time, and there will always be a gap between when the real world object changes and when the data it represents are updated in a database and made available for use. The phrase “use as specified” in the definition of this dimension refers to having the data available when the business requires them. In many cases, this timing is captured by service level agreements specific to domains, systems, warehouses, and marts across and within them. Documenting the timeliness of data capture will allow the users of the data to know understand how current the data is.

Completeness - Completeness is concerned with how comprehensive the regulatory data is. For instance, does it contain essential data for all of the participating divisions? For example, some divisions may have a high percentage of customers that do not have a valid phone number. This, most likely, is the result of a failure in the process of capturing the information as opposed to a large number of customers not having access to a phone.

Specifications - This dimension assesses the amount and quality of metadata and data standards available in a particular data set. This dimension is focused on the existence of business and technical metadata with its location and quality. Metadata provides the context for interpreting the results of data quality assessments.

Uniqueness - Uniqueness refers to an unduplicated record. Tools are available to help reveal whether there are duplicate records or fields within or across databases. These tools are usually referred to as data cleansing tools and are often included in the with MDM or COTS packages.

Perception - Perception, relevance, and trust are measures of the perception of and confidence in the quality of the data and the importance, value, and relevance of the data to the business needs. Stakeholder Assessments and Go-live Readiness Reviews are used to evaluate data perceptions and identify required mitigation actions.

Consistence, Equivalence, and Synchronization - Consistency refers to the fact that any data that is stored and used in various places should match each other. Equivalence is the degree to which data stored in multiple places is conceptually equal. It indicates the data have equal values and meanings. Synchronization is “the process of making the data equivalent”. This type of assessment looks at equivalent information as it is created, updated and deleted in various data stores and applications.

4.4.2.1.4 IDENTIFICATION OF DATA GAP

The analysis will include an assessment of the availability of essential data by conducting a gap analysis of the data sets needed to support RLMS capabilities. Identification of these gaps will require the team to assess priorities around the identified measures. If it is determined that the RLMS will not be successful unless the gaps are addressed, the implementation plan and cost analysis within the program plan will include initiatives to address the gaps, along with activities, costs, and justifications to support the recommended initiatives.

4.4.2.1.5 ANALYZING HISTORICAL, TRANSACTIONAL, AND AGGREGATED DATA

Data analysis will be used to define how historical and transactional data will be handled during an enterprise data warehouse or COTS implementation. Data formats tend to change over time. This adds a level of complexity to the migration effort. Some organizations make a decision to limit the amount of historical and transactional data they migrate into the new system. This may reduce the migration effort, but there are trade-offs that must be considered (e.g. the need to run parallel systems). Legal data retention requirements must be considered.

Poor data aggregation can inhibit performance of queries for programs, stakeholders and constituents. Implementation of effective aggregation strategies and solutions is essential to program success due to the potential for large volumes of data to be analyzed and reported on an on-going basis.

4.4.2.1.6 MASTER DATA MANAGEMENT GOVERNANCE FRAMEWORK

The following section describes a recommended framework for MDM Governance needed to guide the evolution of data governance across RLMS applications.

At its core, MDM governance covers areas such as: Roles and Organizations, Data Strategy, Policies and Standards, Compliance, and Communication. An FDACS MDM organization performs activities such as: Data Architecture and Design, Database Management, Data Security Management, Data Quality Management, Reference and Master Data Management, Data Warehousing and Business Intelligence Management, and Meta Data Management.

Governance promotes adoption through socialization of business benefits and best practices. A data governance process also identifies user skills gaps and create development roadmaps to drive the use and understanding of metrics and core data.

The list below includes governance areas and general responsibilities:

- Data Governance
  - Designs and implements a data governance organization
  - Defines policies and procedures
  - Facilitates organizational buy-in
  - Enables data integrity
  - Facilitates data quality and standardization
  - Design, develop, and implement data quality, conversion, and integration strategies
- Program Management
  - Implementation methodology
  - Project team organization and skill mapping
  - Risk mitigation strategies
  - Scope management
  - Issue management
  - Project reporting and tracking
  - Delivery excellence management
- Master Data Quality
    - Definition of common enterprise-wide metrics, entities, attributes, and their interrelationships

  - Definitions of records of authority for each data object and data element
  - Design of enterprise-wide data architecture with flexibility and auditability
- Organizational Change Management
  - Impact of new technology on people and productivity
  - Change readiness assessment and strategy
  - Training requirements and development
  - Stakeholder communication and management
  - Identifying and mentoring change champions
- Technology
  - Selection of enabling technology for data repository, business process management, data integrity, and governance monitoring

It is vital that the data governance organization agree to and publish best practices, policies and procedures early in the process so that in process projects can benefit from the work that has already been completed. This includes being able to leverage data standards, data definitions, and data processes.

4.5 Identify Candidate MDM Tools for Consideration

4.5.1 COTS Provided MDM

As mentioned above, COTS RLMS packages typically include an enterprise data environment as part of their solution. All of the COTS RLMS vendors interviewed for this study provide varying degrees of MDM support as part of their tool kit. North Highland recommends that each vendor's MDM capability be demonstrated as part of the acquisition process. Factors to consider for demonstration include:

- Ready-to-use governance applications – Create and maintain master data centrally with process-centric applications for consistent definition, authorization and replication of master data domains.
- Verifiable audit trail – Maintain a verifiable audit trail of when, why, and by whom master data is changed, increasing visibility and accountability.
- Prebuilt and flexible workflows – Leverage and enhance prebuilt workflow processes to enrich and validate data.
- Predefined and extensible data model – MDM and COTS products both provide predefined and extensible data models. The MDM enterprise data models tend to be more generic. The COTS data model will be specific to the application. Either provide a foundation which can be extended to support other areas.

- Data validation – Apply, reuse, and integrate existing business logic and infrastructure to validate data through native integration with MDM/COTS Business Suite. Data validation rules are applied to the database and application. Validation rules are also applied as part of Extract, Transform, and Load (ETL).
- Data replication – Distribute changes to consuming applications ad hoc, by schedule, or workflow triggered using enterprise services to reduce manual work, leveraging extended monitoring and error-handling capabilities.

4.5.2 External MDM Tools

There are several MDM tools available to help build and maintain MDM environments. The diagram below shows a chart from Gartner Inc. (an information technology research and advisory company). This chart provides a visual ranking of the various MDM tools based on their ability to execute and completeness of vision.

[4]

Exhibit 11: Gartner Magic Quadrant for Master Data Management of Customer Data Solutions

[4] Source Gartner Magic Quadrant for Master Data Management of Customer Data Solutions, 17 October 2013, ID: G00251784

The following table summarizes information on the MDM software tools listed in the Leaders Quadrant Exhibit 10: Gartner Magic Quadrant for Master Data Management of Customer Data Solutions

VENDOR	PRODUCT	STRENGTHS	CAUTIONS
IBM	InfoSphere MDM Advance Edition	▪ Broad information management strategy ▪ Product strategy and vision ▪ Robust data model and services.	▪ Momentum slowing ▪ Perceived as complex ▪ Low scores on total cost of ownership, workflow and reporting
IBM	InfoSphere MDM Standard Edition	▪ Broad Information Management strategy and platform ▪ Unique offering with large roster of satisfied clients ▪ Strong performance and industry focus	▪ Momentum slowing, limited implementation ▪ Below average scores for industry understanding and new feature responsiveness.
Informatica	Informatica MDM	▪ Highly rated data quality and data integration tools ▪ Data model flexibility ▪ Broad information management capabilities.	▪ Universal MDM Portfolio Strategy still emerging ▪ Lack of packaged governance technology for MDM
Oracle	Siebel Universal Customer Master (UCM)	▪ Strong MDM portfolio ▪ Customers awarded high scores for road map and multiple styles of MDM	▪ Unclear Oracle MDM product direction ▪ Not designed for multi-domain support ▪ Requires high-level vendor support.
Tibco Software	Tibco MDM	▪ Strong momentum ▪ Increasing presence ▪ Strong product strategy	▪ Emphasis on IT ▪ Failure to make customers aware of upgraded capabilities ▪ Challenges supporting growing market

Exhibit 12: Gartner Leaders Table for Master Data Management of Customer Data Solutions

northhighland
WORLDWIDE CONSULTING

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

REGULATORY LIFECYCLE MANAGEMENT SYSTEM (RLMS) STUDY PROJECT

Deliverable 3 – Success Criteria

Date:	9/14/2015
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Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
09/24/2014	Brent Johnson	001	Initial draft
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Quality Review

NAME	ROLE	DATE
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SECTION 1 SUCCESS CRITERIA

A critical initial step in the modernization of the Florida Department of Agriculture and Consumer Services (FDACS) regulatory systems portfolio is the development of a clear and guiding solution strategy and goals/success criteria which align with the overall mission of the Department and the FDACS IT Strategic Plan. The solution strategy and goals/success criteria need to clearly address the key risks and challenges the Department is currently facing while discharging the statutorily required functions and duties.

The strategy and goals/success criteria for developing a Regulatory Lifecycle Management System (RLMS) were facilitated during a FDACS senior leadership team session on Wednesday, August 27, 2014. The session outputs were further refined with the FDACS PPMO team and a final draft was presented to the senior leadership team for approval on Tuesday, September 23, 2014. The exhibits provided below reflect edits received during the September 23 session.

The format used to document the RLMS solution strategy and goals/success criteria is a strategy articulation map depicting the alignment between the Department's mission down to each solution goal. Each of the four solution goals is further defined with goal descriptions and the business value that can be expected to be realized once a new modernized solution has been fully implemented.

1.1 How to Use the RLMS Strategy Articulation Map

The strategy articulation map supports multiple purposes throughout the project implementation lifecycle:

1. Identifies the required "success criteria" requirement of Section III, Success Criteria in the *Guidelines for Preparing the Schedule IV-B for Information Technology Projects* by providing:
    a. Critical results, both outputs and outcomes, which must be realized in order for the Department to consider the proposed IT project a success, and
    b. Defining key performance indicators (KPIs)
2. Establishes the primary justification for undertaking the project
3. Provides a foundation for communication with both internal and external project stakeholders
4. Provides the project governance with a framework to evaluate downstream change requests.

1.2 RLMS Strategy Articulation Map

The following exhibit depicts the overall alignment (or articulation) of the Department's mission with four specific solution goals:

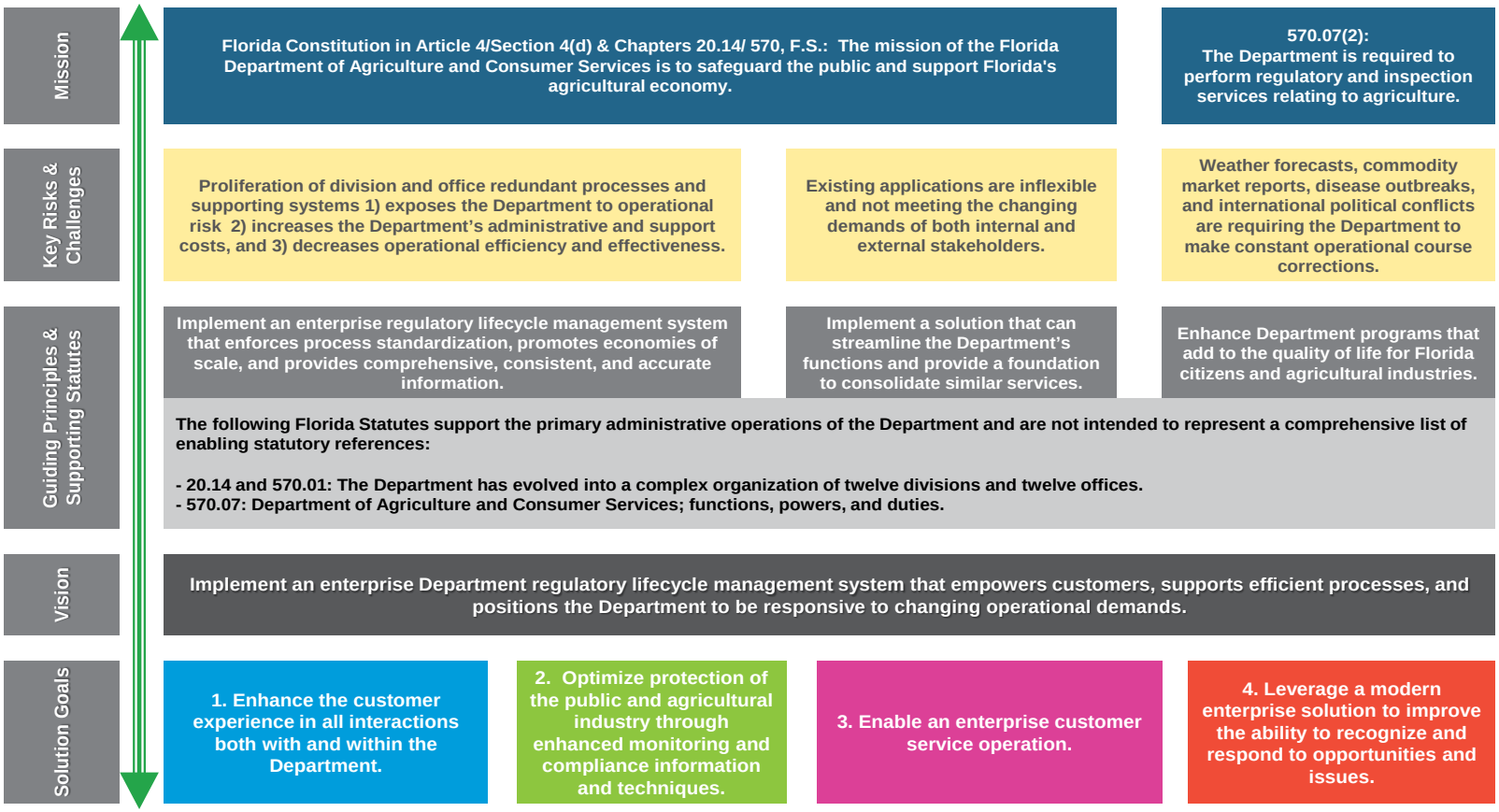

Exhibit 1-1: RLMS Strategy Articulation Map

1.3 RLMS Solution Goals/Success Criteria

Each of the four solution goals are further developed to include:

- Goal description
- Goal business value

Goal description. The goal description is designed to provide additional support for each goal statement.

Goal business value. The goal business value describes the value the Department could obtain once an enterprise-class RLMS solution is operational.

The following exhibits describe each of the four identified solution goals:

Goal 1: Enhance the customer experience in all interactions both with and within the Department.

Goal Description	Improved customer experience that: • Expands customer self-service capabilities • Leverages mobile solutions for both the workforce and customers • Provides a consistent customer experience • Leverages a single view of customer interactions • Standardizes e-commerce capabilities • Enhances the interactions between Divisions and Offices
Goal Business Value	• Enhances and standardizes the customer interface • Reduces the multiple points of contact with the Department in order to create efficiencies and savings, while still upholding a safe and prosperous environment for Florida businesses, agriculture, and consumers • Eliminates, where possible, the requirement to collect redundant data – especially for customers who have multiple permitting and licensing activities • Further develops a single brand and awareness in support of all of the Department's activities

Exhibit 1-2: RLMS Goal 1

Goal 2: Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.

Goal Description	Provide a platform for the Department that: • Expands the use of geospatial data • Leverages a master data management framework to better predict areas for enforcement and monitoring activities • Continues movement towards a risk-based inspection and case management focus • Enhances the Department's emergency response capabilities • Maintains a robust inspection history • Supports enterprise-wide reporting needs
Goal Business Value	• Responds more effectively and efficiently to potential threats to the public and agricultural industry • Provides new, more timely, consistent, and accurate information to aid operational decision making • Enhances statutorily required enforcement and monitoring requirements • Promotes a common definition of data across the enterprise • Enables reuse of developed queries and reports across the Department • Supports the movement towards paperless processes

Exhibit 1-3: RLMS Goal 2

Goal 3: Enable an enterprise customer service operation.

Goal Description	Provide a platform for the Department that: • Reduces data and process redundancies • Increases standardization of common business processes • Increases standardization of required data elements • Improves coordination and the application of Department resources • Improves Department's ability to efficiently provide data to the public
Goal Business Value	• Reduces the cost of supporting customer interactions • Reduces the time spent reconciling transactions between multiple systems • Focuses time on value-added information analysis • Better leverages available data

Exhibit 1-4: RLMS Goal 3

Goal 4: Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.

Goal Description	Replace outdated hardware and software with widely embraced technology leveraging advancements that: • Improves functionality and ease of use • Leverages mobile solutions for both the workforce and customers • Simplifies infrastructure and application maintenance allowing for internal support • Implements integration standards and protocols (e.g., API, SOA, etc.) • Supports an enterprise master data strategy to reduce duplicative data • Reduces overall maintenance costs
Goal Business Value	• Employs technology capable of scaling, evolving, and growing as business needs change • Improves workflow to increase efficiency and customer response • Increases system security, stability, and recoverability with implementation of latest technology standards • Improves flexibility, timeliness, and integration of all data transaction processing • Reduces complexity of integration by leveraging a more flexible and adaptable technology framework and platform • Increases pool of workforce technology talent/resources

Exhibit 1-5: RLMS Goal 4

1.4 KEY PERFORMANCE INDICATORS

Key performance indicators (KPIs) will be identified through the analysis of the business value of each solution goal/success criteria. The following exhibit depicts how the each of the previous components of the strategy articulation map contribute to the identification of KPIs:

Exhibit 1-6: How Key Performance Indicators are Identified

Each KPI will have a calculated baseline measurement and a corresponding target benefit. The ongoing measurement of each KPI would become a critical part of a larger benefits realization plan. Based on our preliminary analysis, the RLMS KPIs are associated with three primary areas:

1. **Increase process efficiencies in anticipation of growth in transaction volume** – The analysis in support of this business case identified business processes dependent on manual intervention to support both the licensing and permitting function, as well as various inspection processes. It is anticipated that deploying a modern enterprise RLMS solution would increase self-service capabilities and provide functionality to eliminate many of the manual processes currently required in the initial license and permit issuance and corresponding renewal processes. Similarly, enabling the Department's inspection workforce with mobile applications will allow for greater efficiencies in the completion of required inspections.
2. **Enhance the Department's Emergency Response capabilities –** The current emergency response capabilities are dependent on the development of custom applications for each event. It is anticipated that an enterprise RLMS solution would deliver functionality that would reduce the overall response time and level of effort required to support the response effort.
3. **Reduce Department-wide system maintenance costs** – The current environment includes multiple applications supporting similar processes across Divisions. This redundancy includes both hardware requirements and software licenses. It is anticipated that deploying a single enterprise RLMS solution would reduce the overall Department maintenance costs.

The major success criteria for the project, along with the KPIs which must be realized in order for the Department to consider the proposed project a success, are outlined in Exhibit 1-7 below.

#	Success Criteria	How will the Criteria be measured?	Who Benefits?	Realization Date
1	The solution will expand customer self-service capabilities.	▪ Number of new and renewal licenses issued ▪ Customer support costs ▪ Customer satisfaction ▪ Time to correspond to customers ▪ Number of licenses issued and renewed online	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
2	The solution will leverage mobile solutions for both the workforce and customers.	▪ Time to complete application ▪ Time to issue permit/license ▪ Time to complete inspection ▪ Employee satisfaction ▪ Customer satisfaction ▪ Emergency Response communication, mapping, and coordination	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
3	The solution will provide a consistent customer experience.	▪ Wait time for calls answered by Public Inquiry Section ▪ Time to pay for multiple permits/licenses ▪ Brand awareness ▪ Customer satisfaction	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
4	The solution will leverage a single view of customer interactions.	▪ Number of redundant records ▪ Number of duplicate permits/licenses ▪ Number of redundant processes ▪ Time to issue permit/license ▪ Number of errors/omissions in applications ▪ Mailing costs ▪ Time to reconcile accounts with payments received	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation

#	Success Criteria	How will the Criteria be measured?	Who Benefits?	Realization Date
5	The solution will standardize e-commerce capabilities.	▪ Number of new applications and renewals paid online ▪ Cost of processing an initial application/ renewal ▪ Number of paper documents produced ▪ Time to reconcile accounts with payments received ▪ Time to deposit payments received ▪ Customer satisfaction	▪ FDACS ▪ State of Florida ▪ FDACS customers	Upon implementation
6	The solution will enhance the interactions between Divisions and Offices.	▪ Time to generate reports ▪ Time to retrieve data from other Divisions ▪ Emergency Response communication	▪ FDACS ▪ State of Florida	Upon implementation
7	The solution will expand the use of geospatial data.	▪ Time to complete inspection ▪ Emergency Response mapping	▪ FDACS ▪ State of Florida	Upon implementation
8	The solution will leverage a master data management framework to better predict areas for enforcement and monitoring activities.	▪ Time to respond to infractions	▪ FDACS ▪ State of Florida	Upon implementation
9	The solution will continue movement towards a risk-based inspection and case management focus.	▪ Time to complete inspection ▪ Number of investigations performed	▪ FDACS ▪ State of Florida	Upon implementation
10	The solution will enhance the Department's Emergency Response capabilities.	▪ Emergency Response time ▪ Level of effort	▪ FDACS ▪ State of Florida	Upon implementation
11	The solution will maintain a robust inspection history.	▪ Time to complete inspection	▪ FDACS ▪ State of Florida	Upon implementation

#	Success Criteria	How will the Criteria be measured?	Who Benefits?	Realization Date
12	The solution will support enterprise-wide reporting needs.	▪ Time to generate reports ▪ Time to retrieve data from other Divisions ▪ Paper documents produced ▪ Report accuracy ▪ Time to issue suspension ▪ Time to respond to FDLE alerts ▪ Time to respond to complaint/grievance	▪ FDACS ▪ State of Florida	Upon implementation
13	The solution will improve functionality and ease of use.	▪ Number of administrative actions generated ▪ Number of paper documents produced ▪ Time to process application ▪ Time to process payment ▪ Employee satisfaction	▪ FDACS ▪ State of Florida	Upon implementation
14	The solution will simplify infrastructure and applications maintenance allowing for internal support.	▪ Maintenance costs ▪ FTEs ▪ Number of redundant processes and applications ▪ Security of information	▪ FDACS ▪ State of Florida	Upon implementation
15	The solution will support an enterprise master data strategy to reduce duplicative data.	▪ Number of duplicate records	▪ FDACS ▪ State of Florida	Upon implementation
16	The solution will increase security, stability, and recoverability with implementation of latest technology standards.	▪ Number of data breaches ▪ System outages ▪ National, State, and Department technology standards compliance ▪ ADA Compliance	▪ FDACS ▪ State of Florida	Upon implementation

Exhibit 1-7: Key Performance Indicators

Estimates of both the amount and timing of the benefits associated with the above areas will be calculated and reviewed with FDACS management.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2016 - 2017

Department: Agriculture and Consumer Services

Chief Internal Auditor: Nedra Harrington

Budget Entity:

Phone Number: (850) 245-1367

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA 1415-01	June 30, 2014	Bureau of State Farmers' Markets, Division of Marketing and Development	**Finding:** The OIG determined the reported number of $836,178,975.50 for actual performance for Fiscal Year 2013-2014 was fairly stated in all material respects. However, during the course of our review, we identified opportunities to ensure the continued accuracy of the actual performance reported for the measure. **Findings:** The OIG determined 2 of the 68 tenants were not required to submit monthly reports on actual sales. According to bureau personnel, because these tenants only have retail sales, and the volume of retail sales as compared to wholesale sales was very low, the tenants were not required to report sales. The V&R Statement does not stipulate that retail sales would be excluded from the number reported. The OIG also determined 41 of 68 tenants did not report actual sales, but reported average sales totals by multiplying the average sales price of the product times the number of units sold. This method is used because the actual sales price is not always immediately known, and variables such as the quality of the produce can affect the price. However, the V&R Statement does not state that utilization of an average sales price is allowable. The OIG determined that for 12 of the 68 tenants, the market managers did not obtain monthly tenant reports as required by the lease agreement. • Ten tenants did not submit the required tenant commodity reports during months in which no sales occurred, or for months when the tenants were not at the market due to the off-season. • Two tenants did not provide reports for the entire fiscal year. For one of the tenants, the market manager realized in July 2014 that the tenant was selling meat products and initiated the receipt of reports at that time. Another tenant failed to comply with requests to submit reports.		

			Auditor Comments: In order to determine if the number reported was fairly stated, the OIG utilized the following assumptions of the bureau, which based on our assessment, did not have a material impact on the number reported: • The omission of retail sales was insignificant due to the relatively low sales volume. • Use of the average sales price instead of actual sales was immaterial to the number reported. • Missing tenant reports were due to zero sales for the month. **Recommendations**: Division management should revise the V&R Statement to reflect the current methodology utilized in calculating total sales. Market managers should obtain monthly commodity reports from tenants, as required, to substantiate whether or not sales occurred.	The division is in the process of revising the Validity and Reliability Statement and the Bureau's procedures for commodity reporting.	
IA 1415-01	July 1, 2012 through May 8, 2014, and select actvities occurring through June 29, 2014.	Division of Food Safety Laboratories	The audit results are confidential.	The division has or is in the process of implementing corrective action, where possible.	
IA 1415-02	February 28, 2015	Florida State Fair, Florida State Fair Authority	**Finding:** In our opinion, the attendance of 388,830 and gate admission revenue of $3,197,506 pertaining to the 2015 Fair, as of February 28, 2015, is fairly stated in all material respects. **Finding:** The same general disorder that occurred last year during the first few days of the Fair was observed this year. It took an inordinate amount of time for several of the ticket office tellers to close out the sellers, and a few were unsure of how to process all transactions contained within the bank bags. In addition, some of the tellers did not appear to have received adequate instruction on how to complete various forms, while others had been provided with outdated forms. A number of the office tellers were new to the Fair, and a few indicated they had not received training, both of which could have contributed to the processing inefficiencies that were observed.		

			Recommendation: Fair management should ensure plans are implemented to modify the training provided to ticket office tellers to increase their efficiency in completing assigned tasks.	Fair management concurs that training for Fair Bank employees must be enhanced for the 2016 Fair. The Controller has instructed the Bank manager to get a pool (approximately 20) of actual 2015 settlements to use for the 2016 Training.	
			Finding: As was the case during the 2014 Fair, there was a delay in the completion of the daily sales and deposit reconciliation reports by Fair management. The main contributor to the delay was based on the limited experience of the midway seller's in using the FunCard system. In several instances, the midway sellers would select the wrong option on the system when processing a transaction. This created difficulties for the ticket office tellers in closing out the sellers and necessitated subsequent research and adjustments by Fair management to ensure a proper reflection of midway sales.		
			Recommendation: Fair management should ensure plans are implemented to modify the training provided to midway sellers to reduce their errors when processing transactions.	Fair management concurs that the Funcard training must be enhanced for the 2016 Fair. Due to the IT department not setting up the training stations timely and a late software update by the software provider, hands-on training was not available until the weekend before the 2015 Fair. The accounting department has recently been given oversight for the IT department and the Controller is setting a deadline of December 20, 2015, to have the training stations ready for use. Actual training will commence in early January 2016.	

			Finding: A review of adjustments to midway sales revenue identified instances in which documentation was not maintained to explain the reason for the adjustment. The Fair's Midway Manager, Wade Shows, Inc., provided an individual to assist with customer service during the 2015 Fair. The customer service representative made four adjustments (reductions) to midways sales totaling $3,635, which was not supported by documentation. According to the Controller, it was decided that the number of sales conducted by Wade Shows, Inc. would be small; therefore, the customer representative did not close out (i.e., settle up) at the end of the day similar to the other midway sellers. In addition, for Day 3 of the Fair, an adjustment (reduction) to midway sales totaling $2,328 was not supported by documentation. The Controller indicated that the adjustment was for individual seller(s) but he could not recall who or why.		
			Recommendation: Fair management should ensure documentation is maintained to substantiate adjustments to sales.	Fair management concurs. In addition to doing a better job with the documentation, the Controller is planning to revise and standardize the daily reconciliations and confirm that seller adjustments are input into the Funcard System.	
			Fair Policies and Procedures specify that for a ticket seller who shows a shortage in excess of $100, or who shows repeated shortages of at least $20 that total over $100, the Ticket Office Manager and the Controller have the option to place the seller on notice and track their progress over the remainder of the Fair. In addition, policy states when a seller's combined shortages exceed $150, notice should be required unless circumstances come to the attention of the controller to waive this requirement. A review of seller shortages determined that three midway sellers had a single shortage in excess of $150. According to the Ticket Office Manager, the sellers received a verbal notice on the day in which the shortage occurred.		

			Recommendation: Fair management should consider providing a written notice to any seller with a single shortage in excess of $150. This notice should be acknowledged through signature and a copy maintained. According to the Controller, the following changes are being considered for next year to improve the sellers and ticket office teller's efficiency and accuracy: • Adding barcodes to the Walgreens coupons. The addition of a barcode would allow armband coupons to be scanned into the FunCard system by the midway sellers, eliminating keying errors and the need for manual counts to verify the number of coupons redeemed. • Simplifying the armband offerings. The price points would be reduced from four to two. A reduction in the number of price points decreases the potential for sellers to mis-key transactions into the FunCard system. **Recommendation:** Where feasible, Fair management should implement changes to minimize the amount of manual input required by the sellers and reduce the complexity of transactions processed.	Fair management concurs and will institute for the 2016 Fair. Fair management concurs. The armband offerings were very confusing in 2015 to both our patrons and our sellers. We are simplifying by only offering a weekend or weekday armband.	
AG 2015-016	June 30, 2014	Operational Audit	**Finding:** The department did not always timely provide timber sales collections to other state agencies to facilitate compliance with statutory deposit requirements. The Auditor General's examination of department records for 20 checks transferred (10 to the Department of Environmental Protection (DEP) and 10 to the Florida Fish and Wildlife Conservation Commission (FWCC)), totaling $177,911 and made during the period July 2012 through January 2014, again disclosed that checks were not always timely provided to the DEP and the FWCC to facilitate compliance with the statutory deposit requirements. Specifically, the department transferred 14 of the 20 checks to the DEP and the FWCC more than 7 working days after receipt. The number of working days from the department's receipt to the transfer of the 14 checks ranged from 15 to 47 days and averaged 30 days.		

			Recommendation: To facilitate state agency compliance with statutory deposit requirements and reduce the risk of theft or loss, the Auditor General recommends that department management amend its Memorandum of Agreements with DEP and FWCC to provide for the timely transfer of checks for timber sales proceeds.	The FFS implemented new procedures in September 2014, that dictate when checks for other agencies are received in the field, FFS field foresters will send the check along with all associated paperwork directly to the other agency rather than sending it first to the FFS office in Tallahassee.	
			Finding: The Auditor General's procedures disclosed that users access privileges were not always timely canceled upon an employee's separation from department employment. Specifically: • For 43 of 146 AIMS user accounts, 2 to 39 business days (average of 4 business days) elapsed from the date of employee separation to the date AIMS user access was canceled. • For 11 of 38 REV System user accounts, 2 to 4 business days (average of 3 business days) elapsed from the date of employee separation to the date REV System user access was canceled. • For 8 of 40 FLAIR user accounts, access privileges were not timely canceled. For 7 of the 8 user accounts, 2 to 4 business days (average of 2 business days) elapsed from the date of employee separation to the date FLAIR user access was cancelled. The access privileges for the other FLAIR user account remained active for 218 business days after the employee's termination. • For 23 of 52 DOCS System user accounts, 2 to 371 business days (average of 39 business days) elapsed from the date of employee separation to the date DOCS System user access was canceled. Additionally, as of August 6, 2014, DOCS System privileges for the six former employees had remained active from 121 to 526 business days (average 279 business days) after the employee's separation date.		

			Recommendation: To minimize the risk of compromising department data and IT resources, the Auditor General recommends that department management ensure that all IT access privileges are canceled immediately upon a user's separation from employment. Additionally, we recommend that department management revise department policies and procedures to provide for the immediate cancellation of all user IT access privileges upon an employee's separation from department employment.	The Division of Administration has revised the department's administrative policies and procedures for cancelation of user access privileges to state, "accounts shall be cancelled no later than five business days from the date of separation from an employee's assigned position or last day in the office, whichever occurs first." According to management in the Division of Consumer Services, modifications to the DOCS System have been completed. The modified system allows an authorized individual to enter an employee's anticipated separation date, which in turn disables the user's access privileges at the close of business on the date specified.	
AG 2015-052	July 2014 through September 2014	Operational Audit	**Finding:** Certain security controls related to surplus computer hard drive disposal processes needed improvement. Specific details of the issues were not dislosed in the report. **Recomendation:** The agencies should improve security controls over the surplus computer hard drive disposal processes to ensure the continued protection of confidential and exempt information. **Finding:** For 4 of the 10 computers selected, the hard drives were not present in the computer and the Wipe Reports indicated that the hard drives had been removed from the computers, degaussed, and stored in a separate area within the DACS surplus location. However, the serial numbers of the removed hard drives were not documented on the Wipe Reports. Additionally, no other documentation was provided that associated degaussed hard drives with their originating computers. Therefore, we were unable to locate and determine that the hard drives removed from the surplus computers were properly sanitized.	The department has corrected all access and are actively working to improve the security controls over the surplus computer disposal process.	

			Recommendation: Agency management should ensure that documentation of the surplus computer hard drive sanitization and disposition is accurate and complete.	The Office of Agriculture Technology Services revised the Standard Operationing Procedures, No. OATS -1900, Surplus Computer Equipment, to require hard drives be installed in the PC after the degaussing process. Further, verification of successful degaussing will be noted on the sticker affixed to the PC.	
AG 2015-166	Fiscal Year Ended June 30, 2014	Federal Awards	There were no findings for the department.		
AG 2015-182	April 2015	Operational Audit	**Finding:** Some Department inspection policies and procedures could be enhanced by specifying the manner in which the inspections are to be conducted and documented. **Recommendation:** We recommend that Department management enhance aquaculture certification inspection policies and procedures by specifying the manner in which the inspections are to be conducted and documented. Additionally, we recommend that Department management enhance weighing and measuring device inspection policies and procedures to ensure inspection forms are appropriately retained.	**Division of Aquaculture:** The division is currently utilizing desk procedures and BMP checklists as mentioned in the audit. A policy will be developed to address issues outlined within the report. **Division of Consumer Services:** The division follows the retention guidelines outlined in the Department's Administrative Policies and Procedures, 4-18, Records Management, and the Records Management Desk Manual. For inspection reports, the division follows GS-1 Schedule Number 176, Item Number 0001 a which requires that inspection reports be kept for three years. The division completes a records inventory annually, as required by department policies.	

			Finding: The Department did not always ensure that inspections were properly conducted and adequately documented in accordance with established rules and procedures. **Recommendation:** We recommend that Department management ensure that inspections are conducted and documented in accordance with established rules and procedures.	**Division of Aquaculture:** Policies will be developed to address the minimum required information to be entered into the database, the process for issuing compliance and noncompliance letters and the completion of checklists. The division concurs with the audit findings that corrective action dates were missing from the Shellfish Processing Plant database copies of Form DACS-15012. This is a product of the division's antiquated database. However, due in part to database limitations, the division maintains an official hard copy. The majority of the forms had corrective action dates or a note explaining why a corrective action date was not provided. The division will ensure all official copies of the inspection form include a time frame for corrective action.	

			Finding: The Department did not always timely conduct re-inspections of commercial measuring devices.	**Division of Consumer Services**: The division recognized prior to the audit that the former database (WinWam) was insufficient to meet the need to require complete data input and retain worksheets and other external documentation relating to inspections and this issue was subsequently addressed before the audit commenced. The division's conversion from the former WinWam program to the current DOCS program is now complete and the deficiencies cited in this audit were addressed prior to the audit. The previous WinWam program did not have the capability to capture and retain inspection worksheets and the program did not require certain information to be recorded. Since the implementation of the new DOCS program for weighing and measuring device inspections, all inspection data is captured directly into the database and requires complete data input. Further, DOCS has the capability to retain scanned images of documents, which include worksheets created by inspectors at the time of an inspection. The documents can be recalled anytime thereafter. It is the policy of the division for inspectors to scan and upload into DOCS all worksheets created. **Division of Fruit and Vegetables:** The division has written a policy and procedure regarding Regrade Certificates (or Regrade Clearance Forms), which will be implemented during the 2015-2016 Citrus Season. During the summer refresher training, all processed citrus inspectors will receive the policy and training on completing the required forms to ensure compliance and consistency.	

			Recommendation: We recommend that Department management ensure re-inspections are performed in accordance with established procedures. Additionally, to ensure commercial measuring device re-inspections are timely performed, we recommend that Department management develop a process to track delinquent correction notices and to remind inspectors to perform re-inspections.	The division recognized that the former database (WinWam) was insufficient to track outstanding responses to correction notices and implemented a new database before the audit commenced. Note that the WinWam database was not transferred into the DOCS database until June of 2014 so the majority of the sample period identified (December 2012 to July 2014) contained historical data that was ported from WinWam into DOCS. During this time inspectors were unable to track outstanding correction notices. Businesses are not required to repair equipment within a specified time frame. However, the division policy is to follow up on all correction notices for which a response has not been received. Many repairs are made by a meter mechanic who is licensed by the division. The mechanics reported the repairs to the division and the corrections are tracked in DOCS. Division inspectors also follow up on a random sampling of all correction notices for which a response has been received by a meter mechanic to ensure corrections are being made satisfactorily.	

				The current DOCS program has reporting capabilities that allow for both inspectors and supervisors to generate a list of outstanding correction notices beyond 60 days. Current procedure requires inspectors to generate a report of outstanding correction notices weekly and follow up with the business. Supervisors are required to generate a report biweekly to ensure inspectors are tracking outstanding correction notices. This procedure is currently in place and has been since shortly after the inspectors started using the new database. The division is in the process of updating policy to reflect this procedure.	
			Finding: The Department did not always maintain documentation of shellfish processing plant inspector certification. **Recommendation:** To better demonstrate that shellfish processing plant inspections are properly conducted, we recommend that Department management maintain documentation evidencing that all shellfish processing plant inspections are performed by qualified State standardized inspectors.	Subsequent to the audit, the division has re-standardized one of the two Sanitation and Safety Specialists (October 2014), and the other Sanitation and Safety Specialist inspector has retired. In addition, on an annual basis, the Shellfish Processing Plant program administrator will confirm active standardization certification for all Sanitation and Safety Specialists inspectors. Sanitation and Safety Specialists will not perform unsupervised inspections without written current standardization documentation from the State Shellfish Standardization Officer.	
			Finding: The Department did not always follow information technology (IT) change management policies and procedures.		

			Recommendation: Ensure that responsibilities for all IT resource program changes are appropriately separated and that the program changes are documented in accordance with established Department policies and procedures.	**Division of Aquaculture:** The division's ability to appropriately separate responsibilities is limited due to an insufficient number of available, qualified FTEs. The division will continue to separate and document change requests, programming, testing, and implementation subject to available division staff expertise. Division of Fruit and Vegetables: The division has implemented a change in the process to comply with recommendations ensuring proper segregation of duties exists in regards to program changes. Upon notification from the industry or staff of issues, division staff documents the issue or request, and submits the proper form following the Change Management Workflow Process for all changes to the BAU System or Citranet. These requests are to be approved by the Division Information Officer or designate. By using Remedy, all required documentation is electronically generated and stored.	
			Finding: IT security controls for the Brix Acid Unit System, Citranet, and Shellfish Shippers Database need improvement. Specific details of the issues were not disclosed in the report.		
			Recommendation: We recommend that Department management strengthen security controls related to the BAU System, Citranet, and Shellfish Shippers Database to ensure the confidentiality, integrity, and availability of Department data and IT resources.	Corrective action has been or is in the process of strengthening security controls related to the BAU System and Shellfish Shippers database. Modifications to Citranet are currently being considered, based on an analysis of the risks posed by the noted deficiencies and the potential cost to make the recommended changes.	

			Finding: Some Brix Acid Unit System users' had inappropriate or unnecessary update access privileges with respect to their duties and positions. **Recommendation:** Appropriately limit BAU System user access privileges to promote the proper separation of duties and to restrict user access to only those functions necessary for their assigned job duties.	The division has contracted with a software engineering firm to create a three-tiered level for access to ensure each user of the BAU System has the recommended capabilities needed based on the assigned job duties. This will ensure proper segregation of duties among the BAU System administrator, technicians and inspectors.	

Fiscal Year 2016-17 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
1. 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	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:																
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? **(CSDR, CSA)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**																
2. EXHIBIT A (EADR, EXA)																
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)																
3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	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	Y	Y	Y	Y	Y	Y	Y	N/J Requesting NR Fund shift	Y	N/J Requesting NR Fund shift	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700

TIP Generally look for and be able to fully explain significant differences between A02 and A03.	

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.																
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.																
4. EXHIBIT D (EADR, EXD)																
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.																
5. EXHIBIT D-1 (ED1R, EXD1)																
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:																
5.2 Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.																
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.																
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2014-15 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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.																

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
7. EXHIBIT D-3A (EADR, ED3A)																
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 33 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 through E-6 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #16-002?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.16 Do the issues relating to *salary and benefits* 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 90 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
7.17 Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.18 Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
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	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.22 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.23 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	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 65 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 a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2016-17 data center costs, this can be completed by using the new State Data Center data processing services category (210001).																
TIP If an appropriation made in the FY 2015-16 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.																

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
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	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	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**;** fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, Florida Statutes for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)															
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8.20 Are appropriate general revenue service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:																
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.33 Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!																
TIP Determine if the agency is scheduled for trust fund review. (See page 130 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.																

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
9. SCHEDULE II (PSCR, SC2)																
AUDIT:																
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? **(BRAR, BRAA - Report should print "No Records Selected For This Request")** Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See *Base Rate Audit* on page 161 of the LBR Instructions.)	**N/J**	**N/J**	**N/J**	**N/J**	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	**N/J**	N/A
10. SCHEDULE III (PSCR, SC3)																
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 92 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
10.2 Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 99 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	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)																
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	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 VIIIA (EADR, SC8A)																
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can now be included in the priority listing.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)																
13.1 **NOT REQUIRED FOR THIS YEAR**	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2)																
14.1 Do the reductions comply with the instructions provided on pages 104 through 106 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	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
15. SCHEDULE VIIIC (EADR, S8C) **(LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)**																
15.1 Agencies are required to generate this schedule via the LAS/PBS Web.																
15.2 Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	N/A	N/A	Y	Y	N/A	N/A	Y	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A
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?	N/A	N/A	Y	Y	N/A	N/A	Y	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A
15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 of the LBR instructions?	N/A	N/A	Y	Y	N/A	N/A	Y	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A
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?	N/A	N/A	Y	Y	N/A	N/A	Y	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A
AUDIT:																
15.6 Do the issues net to zero at the department level? **(GENR, LBR5)**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions)																
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)																
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:																
16.3 Does the FY 2014-15 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	Y	Y	Y	Y	N/J A36 Adjusted for FCO Reversion	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: **Audit #3** will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.																
17. MANUALLY PREPARED EXHIBITS & SCHEDULES																
17.1 Do exhibits and schedules comply with LBR Instructions (pages 115 through 158 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate IV-B for each IT project over $1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: **IT@LASPBS.state.fl.us**	N/A	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION																
TIP Review *Section 6: Audits* of the LBR Instructions (pages 160-162) 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.																

	Program or Service (Budget Entity Codes)															
Action	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)																
18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	Y	N/A
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	Y	N/A
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	Y	N/A
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	Y	N/A
18.5 Are the appropriate counties identified in the narrative?	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	Y	N/A
18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	Y	N/A
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.																
19. FLORIDA FISCAL PORTAL																
19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y