



**State of Florida
Department of Children and Families**

Rick Scott
Governor

Mike Carroll
Secretary

LEGISLATIVE BUDGET REQUEST

Department of Children and Families
Tallahassee, Florida

September 15, 2015

Cynthia Kelly, Director
Office of Policy and Budget
Executive Office of the Governor
The Capitol, Room 1702
Tallahassee, FL 32399-0001

JoAnne Leznoff, Staff Director
House Appropriations Committee
The Capitol, Room 221
Tallahassee, FL 32399-1300

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
The Capitol, Room 201
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Children and Families 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 submission has been approved by Mr. Mike Carroll, our Secretary.

The Schedule VIII B-2 requires agencies to review and consider reductions in existing agency recurring fund budgets. The instructions with the schedule and the allocation of targets create a requirement for the exercise. The Department of Children and Families has completed the exercise as required by the instructions. Program offices, field leadership and senior management within the agency considered the targets, the

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

Mission: Work in Partnership with Local Communities to Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency

Cynthia Kelly, Director
September 15, 2015
Page two

requirements of the exercise, agency legislative mission, as well as impacts. The result is contained in Schedule VIII B-2 after final review. It is important to note that the result is not a list of recommended reductions to the agency budget. The agency does not recommend that the budget be reduced and has, in fact, made recommendations for budgetary increases in certain specific priority areas that it believes are required to meet the needs of Floridians.

If I may be of further assistance, please let me know.

Sincerely,

A handwritten signature in black ink, appearing to read "Mike Carroll", with a long, sweeping underline.

Mike Carroll
Secretary

Florida Department of Children and Families
Temporary Special Duty—General Pay Additives Implementation Plan
Fiscal Year 2015-2016

Pursuant to Section 110.2035(7)(b), F.S., this is the Florida Department of Children and Families (DCF) written plan for implementing temporary special duties—general pay additives for Fiscal Year 2015-16. DCF requests approval to continue long-standing pay additives. The agency is not requesting any additional rate or appropriations for these additives.

In accordance with previous rule authority in 60L-32.0012, Florida Administrative Code, the agency has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and responsibilities of the position. The requested additives are justified for reasons such as the need to recruit and retain employees with key skills and the specialized training required to perform the duties.

Pay additives are a valuable management tool which allows agencies to recognize and compensate employees for identified duties without providing a permanent pay increase.

DCF submits the following plan to continue to pay Temporary Special Duty—General Pay Additives:

Certified Nursing Assistant Pay Additive

1. Northeast Florida State Hospital (NEFSH) has Career Service positions that require incumbents to possess a Certified Nursing Assistant (CNA) license that are assigned to one of six living areas at NEFSH.
2. The justification for this Temporary Special Duty—General Pay Additive is as follows:

Currently, six living areas (*13-1E, 13-1W, 3C, 2F, 32N, 32S*) at Northeast Florida State Hospital are designated as CNA areas; residential areas which require all staff to hold a Certified Nursing Assistant license. The individuals served on these 6 living areas are medically complex, in addition to being diagnosed with severe and persistent mental illness. In order to provide care for these multi-medical problem individuals, an extensive skill set above that of the regular direct care staff, is required. The staff providing care in these areas have received extensive training and have passed both a written and practical exam in order to be licensed by the state of Florida.

Because of the Certified Nursing Assistant's additional training and extensive skills which are also in demand by outside nursing homes, medical hospitals, and numerous other facilities, a 5% additive is critical to the hiring and retention of these staff.

3. These additives will be in effect from the first day the incumbent is assigned to one of the designated living areas.
4. These additives will be effective until the incumbent leaves that position/designated living area.
5. The employees will receive a five percent (5%) salary additive to their base rate of pay.

6. A total of 111 F.T.E. Career Service positions will receive the pay additive.

The positions are in the following classifications:

--Human Service Worker I

--Human Service Worker II

--Unit Treatment and Rehabilitation Specialist

7. These pay additives have been provided for at least the past 11 years. There were 67 positions that received the additive during the 2011-2012 Fiscal Year

8. Annual Cost approximately \$145,918.86.

9. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2012-2013 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Specialty Care Additive

1. Florida State Hospital (FSH) has three (3) positions that receive a Temporary Special Duty—General pay additive for working in the medically complex geriatric area (Special Care Level II).

2. These pay additives are necessary in order to retain employees in this area where employees are difficult to keep. The agency requests approval to continue to grant this additive to the individuals that currently are receiving the additive.

3. These additives will be effective until the incumbent leaves that position/designated area.

4. The employees will receive a five percent (5%) salary additive to their base rate of pay.

5. A total of three (3) F.T.E. Career Service positions receive the pay additive. The positions are in the following Career Service classifications:

--Human Service Worker I

--Unit Treatment and Rehabilitation Specialist

6. These pay additives have been provided for at least the past 12 years.

7. Annual Cost approximately \$3,047.46.

8. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2012-2013 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Child Protective Investigator/ Senior Child Protective Investigator Pay Additive

1. These positions are responsible for conducting investigations regarding allegations of abuse, neglect, abandonment and/or special conditions for children; Collects information through interviews with the children, parents, relatives, neighbors, and other parties associated with the case; and engages families, identifies needs and determines the level of intervention needed to include voluntary services or court ordered dependency services; provides services linkages to agency and community resources based on needs assessment.

2. The justification for this Temporary Special Duty—General Pay Additive is as follows:

Employees in these positions were required to be on-call and work weekends which causes an unstable work week and increase workload; this created a high turnover rate and recruitment difficulties. We have implemented a "weekend unit" to pay employees for working on the weekend and as a result, retention and morale has improved. Furthermore, overtime has decreased by 50% and employees are able to better manage their personal lives.

3. These additives will be in effect from the first day the incumbent is assigned to the position.

4. These additives will be effective until the incumbent leaves that position or the position is moved to standard workweek schedule.

5. The employees will receive a five percent (5%) salary additive to their base rate of pay.

6. A total of 43 F.T.E. Career Service positions will receive the pay additive.

7. These pay additives have been provided for the past 3 years.

8. Annual Cost approximately \$109,322.46.

9. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2012-2013 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Abuse Registry Counselor (Hotline) Pay Additive

1. This position receives and assesses allegations of abuse, neglect or abandonment of children, and abuse, neglect of exploitation of vulnerable adults. Determines if the information meets statutory criteria for an investigation of referral to an appropriate agency. Enters abuse reports in the appropriate information system. Researches appropriate information systems to determine prior history to assist in the safety and risk assessment of alleged victim.

2. The justification for this Temporary Special Duty—General Pay Additive is as follows:

The Abuse Hotline is a 24 hour 7 days a week operation and retaining employees to work weekends has been difficult. Implementing the “weekend unit” for this class would help in making it more desirable to work and would reduce the turnover rate that we are experiencing.

3. These additives will be in effect from the first day the incumbent is assigned to the position.

4. These additives will be effective until the incumbent leaves that position or the position is moved to standard workweek schedule.

5. The employees will receive a five percent (5%) salary additive to their base rate of pay.

6. A total of 37 F.T.E. Career Service positions will receive the pay additive.

7. These pay additives have been provided for the past 4 years.

8. Annual Cost approximately \$114,354.50.

9. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: “Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2012-2013 General Appropriations Act.” See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Questions regarding this plan may be directed to Stephanie Reaves, HR Director, at (850) 488-1700 or Robert Henley in DCF HQ HR at (850)717-4541.



DEPARTMENT LEVEL EXHIBITS & SCHEDULES

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.

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| Agency: | Department of Children and Families | | |
| Contact Person: | Rebecca Kapusta | Phone Number: | 850-921-8675 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <p>FLORIDA PEDIATRIC SOCIETY/THE FLORIDA CHAPTER OF THE AMERICAN ACADEMY OF PEDIATRICS; FLORIDA ACADEMY OF PEDIATRIC DENTISTRY, INC.; A.D., as the next friend of K.K., a minor child; RITA GORENFLO and LES GORENFLO, as the next friends of Thomas and Nathaniel Gorenflo, minor children, J.W., a minor child, by and through his next friend, E.W.; N.A., now known as N.R., a minor child, by and through his next friend, C.R., K.S., as the next friend of J.S., S.B., as the next friend of S.M., S.C., as the next friend of L.C., and K.V., as the next friend of N.V.¹ v. ELIZABETH DUDEK, in her official capacity as interim Secretary of the Florida Agency for Health Care Administration; MIKE CARROLL, in his official capacity as interim Secretary of the Florida Department of Children and Family Services; and JOHN H. ARMSTRONG, M.D., in his official capacity as the Surgeon General of the Florida Department of Health</p> | | |
| Court with Jurisdiction: | United States District Court, Southern District of Florida | | |
| Case Number: | 05-23037-CIV-JORDAN/O'Sullivan | | |
| Summary of the Complaint: | <p>This is a class action for declaratory and injunctive relief challenging the administration of the Medicaid Early Periodic Screening, Diagnosis and Treatment (EPSDT) Program. The action is brought pursuant to 42 U.S.C. §1983, and various provisions of the Social Security Act, 42 U.S.C. §1396 et seq. Plaintiffs primarily challenge the adequacy of Medicaid reimbursement rates for pediatric physician and dental services. Plaintiffs assert that Medicaid enrolled beneficiaries under the age of 21 are being denied timely access to necessary physician care as well as dental care. Plaintiffs also allege that outreach to the uninsured about Medicaid is inadequate, and that, as a result, children who would otherwise be eligible for Medicaid are not enrolled in Medicaid (and don't get the EPSDT services to which they are entitled). Plaintiffs also allege that the outreach conducted to Medicaid enrolled children is not adequate, and that, as a result, parents and children do not know the Medicaid services available for Medicaid enrolled children. The Plaintiffs include both pediatric and dental associations, as well as individual plaintiffs. The named official capacity Defendants are the agency heads of the Department of Health, Agency for Health Care Administration, and the Department of Children and Family Services. If</p> | | |

¹ This lawsuit involves minor children. With the exception of the Gorenflo children, all children are referred to by initials only. Regarding the Gorenflo children, their mother, Rita Gorenflo waived confidentiality in the lawsuit for all matters pertaining to Thomas and Nathaniel.

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| | <p>Plaintiffs succeed, they seek, among other things, increased reimbursement rates to physician and dentist providers, which they allege will ensure access to services for children.</p> |
| <p>Amount of the Claim:</p> | <p>This is a claim for prospective declaratory and injunctive relief. Plaintiffs have provided no precise estimates of the increased reimbursement rates they seek. Reportedly, they seek physician fees that are comparable to Medicare rates, and dental reimbursement rates which are set at the 50th percentile of usual and customary charges for dentists (i.e., a reimbursement rate which is equal to or greater than what 50% of the dentists <u>charge</u> for dental services). In 2011, there was a fee increase for Medicaid dental services, increasing then existing rates by 50%. Plaintiffs contend that the dental rates are still too low, because they are still not set at the 50th percentile of dentists' charges in Florida.</p> <p>Effective January 1, 2013, the Medicaid reimbursement rates for certain primary care services provided by eligible providers were increased to the 2009 Medicare level (which is higher than the present Medicare reimbursement level). This increase was required by the Affordable Care Act, and as written in statute, will continue until December 31, 2014, absent action by Congress to continue the increased reimbursements. Even if they are continued, the primary care rate increases implemented do not provide increased Medicaid reimbursement rates to all physician providers for all services provided to children (which is what Plaintiffs seek). Therefore, should Plaintiffs prevail, it will be necessary to obtain additional appropriations to pay for physician services provided to Medicaid children at the Medicare rate.</p> <p>Plaintiffs have also complained and seek relief to address alleged problems with continuous eligibility. (Continuous eligibility refers to the period of time during which a child should remain eligible for Medicaid once he or she is determined eligible. Depending on the age of the child, the period can be thirteen months, one year, or six months). At trial, Plaintiffs referenced the need for changes to the computer system (the FLORIDA system) used by DCF to determine Medicaid eligibility. As part of its implementation of the Affordable Care Act (ACA), DCF contracted for the development of a new Medicaid eligibility determination system (MEDS). The ACA changed how Medicaid eligibility is determined for most individuals. MEDS is able to process Medicaid eligibility determinations using the new ACA criteria. Additionally, a second component of MEDS deals with continuous eligibility, by setting the review period for member of a family assistance group (including each child), so that their Medicaid eligibility stays in place until the end of the review period. This enhancement in the MEDS system will be implemented in November 2014.</p> <p>DCF has also adopted a simplified Medicaid only application that is required by the U.S. Department of Health and Human Services Centers for Medicare and Medicaid Services (CMS). That simplified Medicaid</p> |

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| | <p>application should also help eligible individuals to apply for Medicaid (this is an aspect of Plaintiffs' outreach claim).</p> <p>And another aspect of the ACA has helped with Petitioner's outreach claims. With increased awareness of the need for health insurance, more people have applied for Medicaid. However, Petitioners still claim that outreach to the uninsured is inadequate.</p> |
| <p>Specific Statutes or Laws (including GAA) Challenged:</p> | <p>42 U.S.C. §§1396a(a)(8), (10), (30)(A) & (43).</p> |
| <p>Status of the Case:</p> | <p>The case has been pending since November 2005. On September 30, 2009, the Court issued an Order Granting In Part The Plaintiffs' Motion For Class Certification. The certified class consists of “all children under the age of 21 who now, or in the future will, reside in Florida and who are, or will be, eligible under Title XIX of the Social Security Act for Early Periodic Screening, Diagnosis and Treatment Services.”</p> <p>The Court held a 95-day long trial on liability, which spanned the period of December 7, 2009 to April 20, 2012. The trial was held as the Court had time available on its docket. No order or judgment was issued at the end of the trial.</p> <p>On March 15, 2013, a hearing was held on the impact that the above-described primary care rate increases have on the suit. In response to that hearing, the Court determined that the claims predicated on primary care services were not moot, because AHCA had not yet implemented them.</p> <p>On December 16, 2013, the Court issued an Order Instructions to Defendants to Submit Enhanced Payment Information, which detailed the information the Court requires before revisiting whether relevant provisions of the Patient Protection and Affordable Care Act moot or otherwise affect any of the issues raised in this case. The Order required that Defendants provide detailed summaries of which physicians have received payments at the Medicare levels, which physicians have not, and when it is that all such enhanced payments will be made.</p> <p>On December 23, 2013, Defendants submitted a Suggestion of Mootness regarding primary care reimbursement rates, containing the detail requested by the Court. The Court denied the Suggestion of Mootness, finding that the reimbursement claims were not moot because there was no indication that the primary care rate increases would continue beyond December 31, 2014.</p> <p>On October 23, 2014, DCF filed a Suggestion of Mootness, noting that computer system changes at DCF affected the ongoing viability of Plaintiff's claims. On same date, AHCA and DOH filed a Motion to Reopen Record for Trial on Liability, seeking to reopen the record to</p> |

present evidence on the way the MMA affected any liability issues in the case. Both motions were denied.

The Court issued findings of fact and conclusions of law on 12/30/14, finding for Plaintiffs on all claims. On January 27, 2015, the Defendants filed (and the Court granted in part on March 23, 2015) a Motion to Amend Findings of Fact and Conclusion of Law. Also on March 23, 2015, the Court set a schedule for the submission of affidavits on the issue of whether there are ongoing violations of federal law. Count IV against DCF was dismissed by the Court.

On April 8, 2015, the Plaintiff's filed an Offer of Proof in support of Declaratory and Injunctive Relief along with affidavits. On April 9, 2015, Plaintiff's filed a Motion to Seal Documents Being Submitted with Plaintiff's Offer of Proof. The Court granted the motion on April 13, 2015. On the same day, the Court denied a previously filed Defense motion for a 60-day extension of time to respond to the Court's order, and the Court deferred ruling on a Defense motion to continue an April 24, 2015 hearing until after the Court could consider the parties' memoranda of law concerning the impact of *Armstrong v. Exceptional Child Care Center, Inc.*, No. 14-15, 2015 WL 1419423 (U.S. Mar. 31, 2015), on the case. The parties' memoranda were filed on April 17, 2015.

On April 22, 2015, Defendant's filed an Offer of Proof along with supporting declarations. On April 23, 2015, the Court denied the Defendant's Motion for Continuance that the Court had previously deferred ruling on. On May 1, 2015, the Plaintiffs submitted their Proposed Declaratory Judgement. On May 18, the Defendants filed their response to Plaintiffs' Proposed Declaratory Judgement. The Plaintiffs filed a reply on June 19, 2015.

On June 18, 2015, DCF filed a Motion to Dismiss Plaintiffs' Claims As Moot, And To Decertify the Class (along with a memorandum of law). On July 22, 2015, Plaintiffs filed Motion For Leave To Take Limited Discovery In Support Of Request For Injunctive Relief. On July 24, 2015, Defendants filed a response in opposition to Plaintiffs' motion. Plaintiffs filed a reply in support of their motion on August 8, 2015.

At this time, the parties are waiting for the Court to enter additional orders on filings going back to May, 2015. The Court may or may not allow additional proceedings for the presentation of live testimony. The Court also may or may not allow depositions of those individuals who signed declarations. The Defense continues to prepare for a possible evidentiary hearing and depositions.

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| Who is representing (of record) the state in this | | Agency Counsel |
| | X | Office of the Attorney General or Division of Risk Management |

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| lawsuit? Check all that apply. | X | Outside Contract Counsel |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | <p>Stuart H. Singer, Esq. Carl E. Goldfarb, Esq. Damien J. Marshall, Esq. Boies, Schiller & Flexner LLP 401 East Las Olas Blvd. Suite 1200 Fort Lauderdale, FL 33301</p> <p>Benjamin D. Geffen, Esq., Public Interest Law Center of Philadelphia 1709 Benjamin Franklin Parkway Second Floor Philadelphia, PA 19103</p> <p>Louis W. Bullock, Esq., Bullock, Bullock, & Blakemore 110 W. 7th Street Tulsa, Oklahoma 74112</p> | |

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| Agency: | Department of Children and Families | | |
| Contact Person: | Rebecca Kapusta | Phone Number: | 850-921-8675 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Luis W. Lebron, Individually and as class representative v. David E. Wilkins, in his official capacity as Secretary of the Florida Department of Children and Families. | | |
| Court with Jurisdiction: | Eleventh Circuit Court of Appeals | | |
| Case Number: | Lower Court Case No.: 6:11-cv-01473-Orl-35DAB U.S. Appellate Case No.: 14-10322-EE | | |
| Summary of the Complaint: | Class action lawsuit seeking to enjoin s. 414.0652. Florida Statutes as violating the Fourth and Fourteenth Amendments to the U.S. Constitution, for requiring individuals applying for Temporary Assistance for Needy Families (TANF) to submit to drug testing without suspicion of drug use. | | |
| Amount of the Claim: | Relief sought is injunctive relief and not monetary damages. | | |
| Specific Statutes or Laws (including GAA) Challenged: | Florida Statute 414.0652 | | |
| Status of the Case: | <p>Preliminary Injunction granted October 24, 2011, halting Florida from drug testing public assistance applicants as a condition of receiving Temporary Assistance for Needy Families. Department appealed to the Eleventh Circuit Court of Appeals. On or about February 26, 2013, 11th Circuit Court of Appeals upheld the preliminary injunction. The Trial Court initially denied class certification, but later granted Plaintiff's Renewed Motion for Class Certification on December 7, 2011. Discovery closed in July, and cross motions for summary judgment were submitted on September 10, 2012. The Middle District Granted Plaintiff's Motion for Summary Judgment and Denied Defendant's Motion on December 31, 2013, and entered a Final Judgment for Plaintiff on January 2, 2014. Defense counsel filed a Notice of Appeal with the 11th Circuit Court of Appeals on January 23, 2014. Both Parties submitted briefs and the court held oral argument on November 20, 2014. On December 3, 2014, the 11th Circuit issued an order affirming the lower court's summary judgment, finding S. 414.0652, Fla. Stat. (2014), unconstitutional. The Department did not seek further review.</p> | | |

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| Who is representing (of record) the state in this lawsuit? Check all that apply. | X | Agency Counsel |
| | X | Office of the Attorney General or Division of Risk Management |
| | | Outside Contract Counsel |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | <p>Maria Kayanan, Esq. Trial Counsel</p> <p>Randall C. Marshall Trial Counsel ACLU Foundation of Florida, Inc. 4500 Biscayne Blvd., Suite 340 Miami, FL Tel: (786) 363-2700 Fax: (786) 363-3108</p> <p>John Digfelder Trial Counsel ACLU Foundation of Florida, Inc. P.O. Box 25477 Tampa, FL 33622 Tel: (813) 287-1698 Fax: (813) 289-5694</p> <p>Randall C. Berg, Jr. Joshua A. Glickman Shawn A. Heller Florida Justice Institute, Inc. 100 SE Second St., Ste. 3750 Miami, FL 33131-2115 Tel: (305) 358-2081 Fax: (305) 358-0910</p> | |

Schedule VII: Agency Litigation Inventory

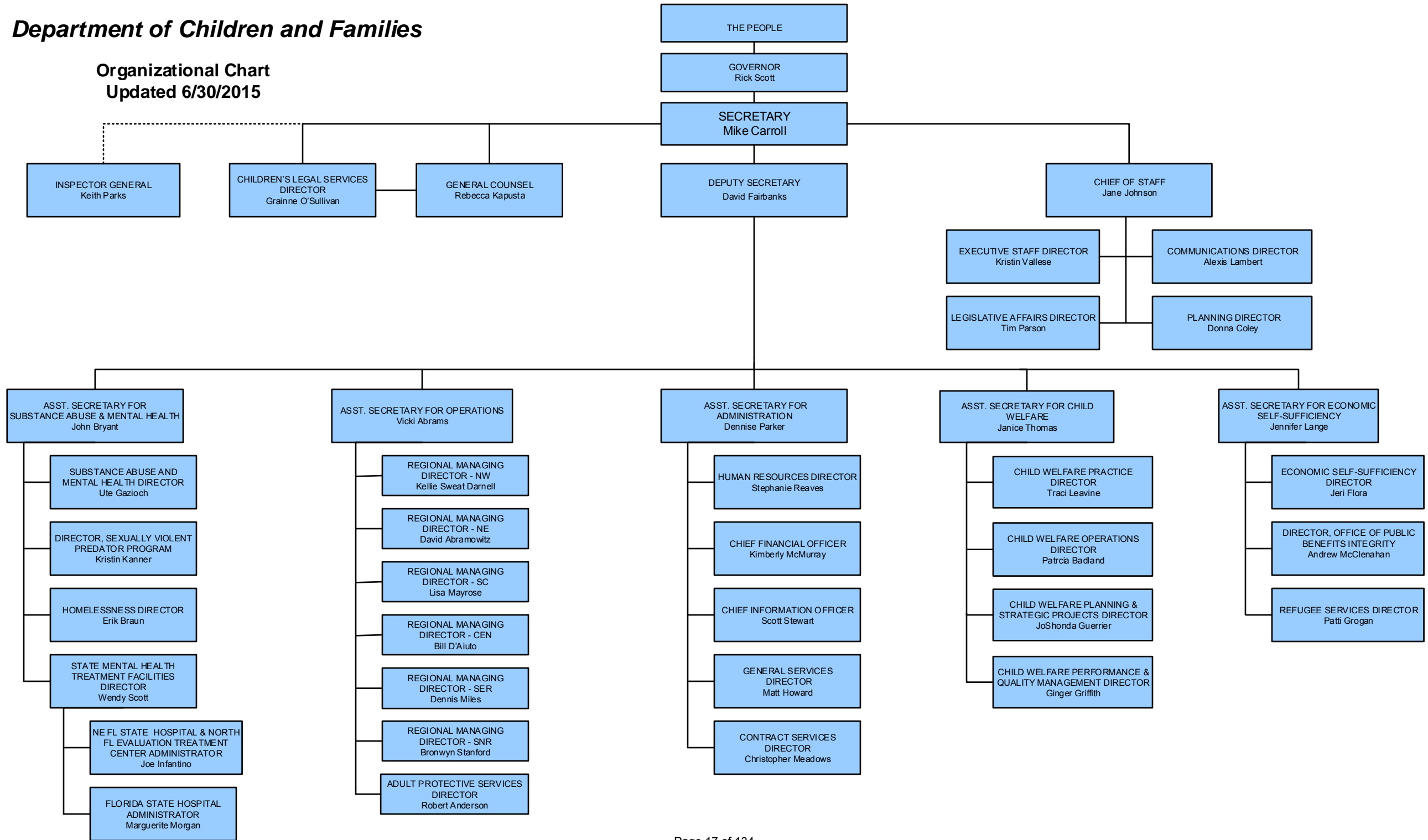
For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

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| Agency: | Department of Children and Families | | |
| Contact Person: | Rebecca Kapusta | Phone Number: | 850-921-8675 |
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| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | T.W., P.M., and DISABILITY RIGHTS FLORIDA, on behalf of themselves and all others similarly situated v. ESTHER JACOBO, in her official Capacity as Interim Secretary of the Florida Department of Children and Families; and ELIZABETH DUDEK, in her official Capacity As Secretary of the Agency for Health Care Administration | | |
| Court with Jurisdiction: | U.S. District Court, Southern District of Florida | | |
| Case Number: | 4:13-cv-00457-RH-CAS | | |
| Summary of the Complaint: | Plaintiffs allege a state-wide class action brought on behalf of over 300 individuals with psychiatric disabilities that are located in Florida state psychiatric treatment facilities. Plaintiffs further allege that the defendants discriminate against persons with disabilities in violation of Title II of the Americans with Disabilities Act (ADA). 42 U.S.C. sections 12131-12134. | | |
| Amount of the Claim: | This is a claim for declaratory and injunctive relief to prevent Defendants from administering mental health services in a setting that unnecessarily isolates and segregates individuals with disabilities from the community, and require Defendants to administer mental health services in the most integrated setting appropriate to the needs of the individuals with disabilities. Plaintiffs request award of attorney fees, costs, and expenses to the Plaintiffs, retention of court jurisdiction to ensure Defendants’ compliance with the ADA, and award such other and further relief as it deems necessary, just, and proper. No specific dollar amounts are claimed in the Request for Relief. | | |
| Specific Statutes or Laws (including GAA) Challenged: | Title II of the Americans with Disabilities Act (ADA). 42 U.S.C. sections 12131 – 12134. | | |
| Status of the Case: | Plaintiffs filed the Complaint on 8/15/13 and the Department waived service. The Department filed an Answer after the court granted ACHA’s Motion to Dismiss. . The Parties stipulated to a stay, staying the matter until 09/01/15. The Parties meant informally in August to discuss terms of a settlement agreement, which is pending. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input checked="" type="checkbox"/> | Outside Contract Counsel | |

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| <p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p> | <p>David A. Boyer Florida Bar #90917 Disability Rights Florida davidb@disabilityrightsflorida.org 1930 Harrison St., Ste 104 Hollywood, FL 33020 Tel: 850-488-9071 Fax: 850-488-8640 Counsel for Plaintiffs</p> <p>Amanda E. Heystek Florida Bar #0285020 Disability Rights Florida amandah@disabilityrightsflorida.org 1000 N. Ashley Dr., Suite 640 Tampa, FL 33602 Tel: 850-488-9071 Fax: 830-488-8640 Lead Counsel for Plaintiffs</p> |
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Department of Children and Families

Organizational Chart Updated 6/30/2015



| CHILDREN AND FAMILIES, DEPARTMENT OF | | FISCAL YEAR 2014-15 | | | |
|---|--|---------------------|---------------|------------------------------|------------|
| SECTION I: BUDGET | | OPERATING | | FIXED CAPITAL OUTLAY | |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT | | 2,874,539,322 | | 10,391,553 | |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.) | | 38,790,042 | | 0 | |
| FINAL BUDGET FOR AGENCY | | 2,913,329,364 | | 10,391,553 | |
| SECTION II: ACTIVITIES * MEASURES | | Number of Units | (1) Unit Cost | (2) Expenditures (Allocated) | (3) FCO |
| Executive Direction, Administrative Support and Information Technology (2) | | | | | 2,304,053 |
| Protective Services * Number of people receiving protective supervision, and protective intervention services and number of investigations completed | | 113,168 | 430.37 | 48,703,725 | |
| Healthy Families * Number of families served in Healthy Families | | 9,406 | 2,457.40 | 23,114,329 | |
| Protective Investigations * Number of investigations | | 385,078 | 589.78 | 227,111,972 | |
| In-home Supports * Number of children under protective supervision (point in time) | | 7,269 | 41,841.63 | 304,146,841 | |
| Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months. | | 2,186 | 135,631.29 | 296,489,990 | 2,700,000 |
| Child Welfare Legal Services * Number of termination of parental rights petitions filed | | 4,344 | 12,568.93 | 54,599,449 | |
| Emergency Shelter Supports * Number of adults with a safety plan upon leaving domestic violence shelter after 72 hours | | 6,554 | 5,488.44 | 35,971,229 | |
| Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline | | 484,847 | 47.19 | 22,881,073 | |
| Adoption Subsidies * Number of children receiving adoption subsidies | | 35,760 | 4,698.04 | 168,001,927 | |
| Adoption Services * Children receiving adoptive services | | 6,294 | 8,462.39 | 53,262,254 | |
| License Child Care Arrangements * Number of facilities and homes licensed | | 6,201 | 2,988.07 | 18,529,043 | |
| Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver | | 504 | 7,785.88 | 3,924,084 | |
| Emergency Stabilization * Number of children served | | 3,513 | 3,991.31 | 14,021,462 | |
| Emergency Stabilization * Number of adults served | | 35,534 | 1,807.55 | 64,229,448 | 4,650,000 |
| Provide Forensic Treatment * Number of adults in forensic commitment served | | 2,906 | 53,147.85 | 154,447,638 | |
| Provide Civil Treatment * Number of people in civil commitment served | | 1,983 | 102,221.56 | 202,705,348 | |
| Community Support Services * Number of children served | | 23,993 | 3,574.61 | 85,765,737 | 437,500 |
| Community Support Services * Number of adults with forensic involvement served. | | 4,858 | 48,578.40 | 235,993,886 | |
| Assessment * Number of sexual predators assessed | | 4,429 | 7,015.58 | 31,071,987 | |
| Detoxification * Number served | | 295 | 26,942.99 | 7,948,182 | |
| Treatment And Aftercare * Number of individuals with substance abuse problems served | | 32,697 | 4,459.29 | 145,805,269 | |
| Detoxification * Number of adults provided detoxification and crisis supports | | 20,158 | 1,258.95 | 25,377,946 | |
| Prevention * Number of at-risk individuals provided prevention services | | 315,922 | 80.68 | 25,488,175 | |
| Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery | | 20,475,152 | 0.81 | 16,630,145 | |
| Refugee Assistance * Number of refugee clients served | | 90,721 | 964.08 | 87,462,219 | |
| Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments | | 475 | 37,504.84 | 17,814,801 | |
| Homeless Assistance * Number of grants issued for homeless clients | | 13,932 | 1,099.14 | 15,313,278 | 300,000 |
| Eligibility Determination/Case Management * Number of cash assistance payments | | 884,583 | 348.59 | 308,353,289 | |
| Issue Welfare Transition Program Payments * Total number of cash assistance applications | | 327,594 | 493.53 | 161,677,800 | |
| TOTAL | | | | 2,856,842,526 | 10,391,553 |
| SECTION III: RECONCILIATION TO BUDGET | | | | | |
| PASS THROUGHS | | | | | |
| TRANSFER - STATE AGENCIES | | | | | |
| AID TO LOCAL GOVERNMENTS | | | | | |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS | | | | 2,918,240 | |
| OTHER | | | | | |
| REVERSIONS | | | | 53,568,777 | |
| TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4) | | | | 2,913,329,543 | 10,391,553 |

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 XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

| Schedule XII Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: | Schedule XII Submission Date: |
| Project Name: | Is this project included in the Agency's LRPP? <div style="text-align: center;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> |
| FY 2016 - 2017 LBR Issue Code: | FY 2016 -2017 LBR Issue Title: |
| Agency Contact for Schedule XII (Name, Phone #, and E-mail address): | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII. | |
| Agency Head: | Date: |
| Printed Name: | |
| Agency Chief Information Officer: <i>(If applicable)</i> | Date: |
| Printed Name: | |
| Budget Officer: | Date: |
| Printed Name: | |
| Planning Officer: | Date: |
| Printed Name: | |
| Project Sponsor: | Date: |
| Printed Name: | |

**SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
COMMODITY CONTRACTS**

| |
|----------------------------|
| Contact Information |
| Agency: |
| Name: |
| Phone: |
| E-mail address: |

Deferred-payment commodity contracts are approved by the Department of Financial Services (department). The rules governing these contracts are in Chapter 69I-3, *Florida Administrative Code* and may be accessed via the following website <https://www.flrules.org/gateway/ChapterHome.asp?Chapter=69I-3> . Information on the program and other associated information on the Consolidated Equipment Financing Program and Guaranteed Energy Savings Contracts may be accessed via the following website http://www.myfloridacfo.com/aadir/statewide_financial_reporting/.

For each proposed deferred-payment commodity contract that exceeds the threshold for Category IV as defined in Section 287.017, *Florida Statutes*, complete the following information and submit Department of Financial Services forms Lease Checklist DFS-A1-411 and CEFP Checklist DFS-A1-410 with this schedule.

| |
|--|
| 1. Commodities proposed for purchase. |
| |
| 2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts. |
| |
| 3. Summary of one-time payment versus financing analysis including a summary amortization schedule for the financing by fiscal year (amortization schedule and analysis detail may be attached separately). |
| |
| 4. Identify base budget proposed for payment of contract and/or issue code and title of budget request if increased authority is required for payment of the contract. |
| |

**SCHEDULE XV:
CONTRACT INFORMATION FOR EACH CONTRACT IN WHICH THE
CONSIDERATION TO BE PAID TO THE AGENCY IS A PERCENTAGE OF
THE VENDOR REVENUE AND IN EXCESS OF \$10 MILLION**

| |
|----------------------------|
| Contact Information |
| Agency: |
| Name: |
| Phone: |
| E-mail address: |

| | | |
|---|---------------------|---------------------------------|
| 1. Vendor Name | | |
| | | |
| 2. Brief description of services provided by the vendor. | | |
| | | |
| 3. Contract terms and years remaining. | | |
| | | |
| 4. Amount of revenue generated | | |
| Prior Fiscal Year | Current Fiscal Year | Next Fiscal Year (Request Year) |
| | | |
| 5. Amount of revenue remitted | | |
| Prior Fiscal Year | Current Fiscal Year | Next Fiscal Year (Request Year) |
| | | |
| 6. Value of capital improvement | | |
| | | |
| 7. Remaining amount of capital improvement | | |
| | | |
| 8. Amount of state appropriations | | |
| Prior Fiscal Year | Current Fiscal Year | Next Fiscal Year (Request Year) |
| | | |



BUDGET ENTITY LEVEL EXHIBITS & SCHEDULES

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

For Fiscal Year 2016-17



September 4, 2015

FLORIDA DEPARTMENT OF CHILDREN AND FAMILIES

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Executive Summary

The Department of Children and Families is requesting \$9,622,330 for three project components that will provide enhancements to the Florida Safe Families Network (FSFN) system, the single information repository for all child welfare case management work:

1. Child Welfare Safety Methodology Practice Model Refinements will align the FSFN system with the Child Welfare Safety Methodology Practice Model;
2. Data Reporting Changes will provide improved access to data for Community Based Care organizations and facilitate their ability to monitor case work for accountability; and
3. A new Forms and Document Management system will not only make it easier to store, classify and retrieve documents, but will also provide upgrades to the FSFN architecture.

In 2005, Florida completed its transition to a Community Based Care (CBC) model, which outsourced child welfare case management services to private providers in local communities. With this new Child Welfare delivery model, the Legislature found it critical to implement a statewide information system to ensure the consistent delivery of child welfare services across the state of Florida. The Florida Legislature established the Florida Safe Families Network (FSFN) in partnership with the federal Children's Bureau (within the Administration for Children and Families – ACF) as the State's official Statewide Automated Child Welfare Information System (SACWIS).

In January 2011, the tragic death of Nubia Barahona, as well as the abuse suffered by her and her brother Victor, spurred a comprehensive review of Florida's child protective response system. As a result of this review, the Department began the Child Protection Transformation Project, to implement significant improvements to the Child Welfare Program. These improvements required changes to business processes and the supporting technology.

The Legislature provided \$12,000,000 of funding in the budgets for FY 2012-13 and FY 2013-14 for the Child Protection Transformation Project including the implementation of the Child Welfare Safety Decision Making Methodology Practice Model, which incorporates an enhanced safety and risk assessment framework.

The FSFN system and toolset is foundational to providing the core business and information needs of its stakeholders and contains the recently implemented Child Welfare Safety Methodology Practice Model. The Department worked with Community Based Care providers (CBCs), Sheriff's Offices, and national experts to develop this new assessment framework for making safety decisions.

The Department continues to work with CBC Lead Agencies and other partners to make system changes that can improve the user's experience and ensure the adoption and use of FSFN is consistent with the Child Welfare Safety Methodology Practice Model and SACWIS requirements. The Child Protection Summit 2014 was a milestone event. Key partners including the CBC CEOs, CIOs and Vice Presidents, along with representatives from judicial

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

circuits and Sheriffs' Offices, unanimously approved a strategic vision (Figure 3: Florida Safe Families Network Strategic Blueprint) for FSFN focused on meeting the business needs of and solving the challenges faced daily by child protective workers.

While recent FSFN improvements facilitated the child welfare communities' ability to work toward implementing the Strategic Blueprint, the community is demanding more information technology capacity to support the child welfare practice. Since the original functionality deployment in 2013, the stakeholder community has identified areas (see pages 9 and 10) in which the system does not provide sufficient support for the Child Welfare Safety Methodology Practice Model, requiring "work-arounds" and laborious manual processes. The changes proposed here will correct those that have been identified to date.

Meeting these expectations is dependent upon strengthening the capability of the Department to adequately support the FSFN application's aging architecture and respond quickly to business needs.

DCF is requesting funding for three components as part of this project to position the FSFN system to address the issues described, facilitate the statewide adoption of the Child Welfare Safety Methodology Practice Model and meet federal SACWIS requirements:

- ***Child Welfare Safety Methodology Practice Model Refinements*** - As of June 2015, all community partner agencies were utilizing the tools within the FSFN system. After the first full year of implementation, internal and external stakeholder groups provided feedback regarding areas of the FSFN system that do not adequately support the Child Welfare Safety Methodology Practice Model. This project includes several changes that will update the existing FSFN decision support tools to fully align the system with the safety practice model and with current statute.
- ***Data Reporting Changes*** - Currently, data reporting does not fully support the CBC's and their ability to monitor case work for accountability, yet they account for about 70% of the system users. This project component will incorporate all safety practice data elements into the reporting environment and make information more readily available to increase accountability within the child welfare community.
- ***Forms and Document Management*** - Updating the technical architecture of the document creation platform will provide increased case worker efficiencies through more effective and efficient access to documents. A newer, industry-standard technology will give DCF and CBC staff the flexibility to create, edit, complete, and retrieve documents. FSFN enhancements that allow Child Protective Investigator (CPIs) and Case Managers (CMs) to properly store, classify and retrieve documents will greatly reduce time spent searching through paper documents and allow faster retrieval of information. This is vital when a decision must be made quickly to insure the safety of a child.

Currently, when changes are needed to forms and templates, a change request must be submitted to the FSFN team and waits in the queue until resources are available to make

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

the changes. In addition, upgrading to a current platform will reduce the time required to make changes and alleviate some of the load on existing hardware.

These are priorities identified by the child welfare community that can provide capabilities to meet their expectations and address immediate business needs, align the system with the existing practice model and implement upgrades to the current infrastructure. As such, these changes all support the agency's Goal 1 in the Long Range Program Plan, "Protect the vulnerable people we serve." Objective 1a is "Ensure vulnerable children are safe." Addressing these critical business needs will advance the quality of service delivery and improve the safety outcomes for the children of Florida. These enhancements are also critical to attaining statewide system adoption of the Child Welfare Safety Methodology Practice Model and meeting federal SACWIS requirements.

Alternatives Considered

After defining the stakeholders' business needs and assessing the required improvements, the Department considered alternative approaches. For the first two project components, there were no alternatives available that would achieve the defined business objectives. For the Forms and Document Management system, the Department considered the possibility of rewriting the current functions to supported levels and open source solutions. However, by moving away from Microsoft Word and ActiveX Controls, the Department can utilize more current industry-standard technology that is easier to support, maintain and enhance. In considering open source solutions, there was a concern about scalability for an enterprise application. Also, the open source solutions did not have all of the features provided by Adobe Experience Manager and CRX.

Recommendation

Based on the significant discussion and feedback from stakeholders representing the over 14,000 users of FSFN, the Department recommends funding the three project components to achieve the identified business objectives, align the FSFN system with the Child Welfare Safety Methodology Practice Model, enable CBCs to improve case monitoring for accountability and provide much needed upgrades to the FSFN architecture.

Risks and Issues of Maintaining the Current System

While the business related benefits derived from functional and technical enhancements, alone, provide sound justification for adequately resourcing the FSFN system, consideration must also be given to the risks associated with maintaining the current architecture. FSFN has performed well since its inception, however aging infrastructure means that routine maintenance and minor changes require more time and resources than would be needed otherwise. At the current funding levels, the Department is unable to respond to business needs as all existing support resources are diverted to keeping the FSFN system operational. Any failure or system degradation of FSFN would have a detrimental effect on the child welfare community that relies on data from the system to ensure the safety and well-being of Florida's most vulnerable. Current funding must be used to ensure the daily system availability and reliability.

However, as the Child Welfare Safety Methodology Practice Model continues its statewide

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

implementation, DCF expects continued growth in system usage. The aging architecture combined with the expected increase in usage present a legitimate risk to meeting business needs.

Conclusion

The Florida Safe Families Network (FSFN) was commissioned by the Legislature as the primary information source for the child welfare system of care. Built on an aging and inflexible architecture, FSFN is now facing substantial risk to its reliability and availability. Consistent with a strategic direction developed by members of the child welfare community, the Department identified critical business needs for FSFN related to practice support and system architecture. The Department recommends funding the proposed projects to ensure FSFN is able to meet the expectations of Florida's child welfare system.

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

I. Schedule IV-B Cover Sheet

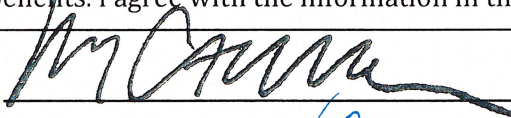
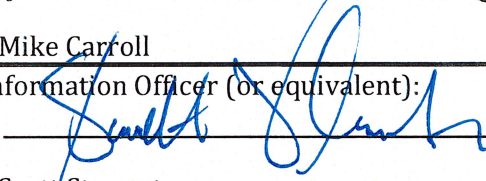
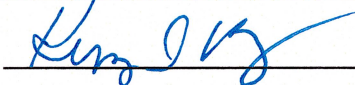
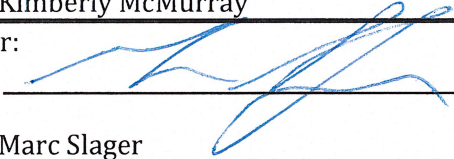

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|--|
| Agency: Department of Children and Families | Schedule IV-B Submission Date: |
| Project Name: Strengthening Child Safety Practice Through Technology | Is this project included in the Agency's LRPP? <u>Y</u> Yes ___ No |
| FY 2016-17 LBR Issue Code: | FY 2016-17 LBR Issue Title: |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Marc Slager, Office of Information Technology Services, 850-320-9299, Marc.Slager@myflfamilies.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:  | Date: 9-14-15 |
| Printed Name: Mike Carroll | |
| Agency Chief Information Officer (or equivalent):  | Date: 9-14-15 |
| Printed Name: Scott Stewart | |
| Budget Officer:  | Date: 9-14-15 |
| Printed Name: Kimberly McMurray | |
| Planning Officer:  | Date: 9-14-15 |
| Printed Name: Marc Slager | |
| Project Sponsor:  | Date: 9/14/15 |
| Printed Name: Janice Thomas | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: Cost Benefit Analysis: Risk Analysis: Technology Planning: Project Planning: | Family and Community Services IT Team Please Contact Marc Slager, 850-320-9299, Marc.Slager@myflfamilies.com |

Figure 1: Schedule IV-B Cover Sheet and Agency Project Approval

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

A. Background and Strategic Needs Assessment

1. Business Need

The **mission** of the Florida Department of Children and Families (DCF) is to work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency.

Our goal is that every child in Florida thrives in a safe, stable, and permanent home, sustained by nurturing relationships and strong community connections.

This is rooted in a sound knowledge base and a practice approach that is safety-focused, family-centered, and trauma-informed (see Figure 2).

Background. In 2005, Florida completed its transition to a Community Based Care (CBC) model, which outsourced child welfare case management services to private providers in local communities. With this new child welfare delivery model, the Legislature found it critical to implement a statewide information system to ensure the consistent delivery of child welfare services across the state of Florida. The Florida Legislature established the Florida Safe Families Network (FSFN) in partnership with the federal Children’s Bureau (within the Administration for Children and Families – ACF) as the State’s official Statewide Automated Child Welfare Information System (SACWIS). The FSFN system is Florida’s single information repository for all child welfare case management work containing 30 years of data for over 8,000,000 people.

Child Welfare Safety Methodology Practice Model. In January 2011, the tragic death of Nubia Barahona, as well as the abuse suffered by her and her brother

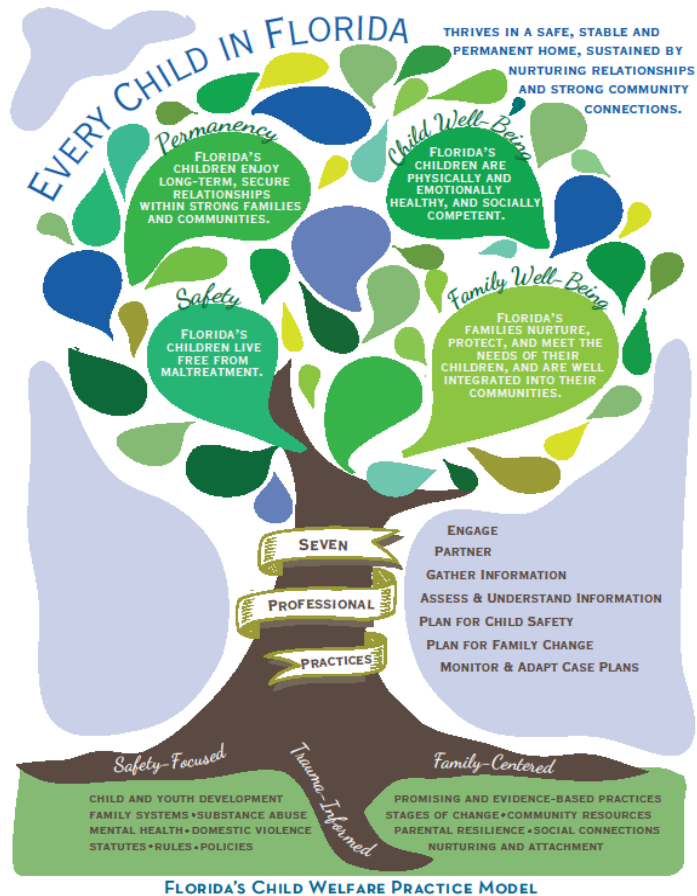


Figure 2

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

Victor, spurred a comprehensive review of Florida's child protective response system. As a result of this review, the Department began the Child Protection Transformation Project, to implement significant improvements to the Child Welfare Program. These improvements required changes to business processes and the supporting technology.

The Legislature provided \$12,000,000 of funding in the budgets for FY 2012-13 and FY 2013-14 for the Child Protection Transformation Project including the implementation of the Child Welfare Safety Decision Making Methodology Practice Model, which incorporates an enhanced safety and risk assessment framework.

The FSN system and toolset is foundational to providing the core business and information needs of its stakeholders and contains the recently implemented Child Welfare Safety Methodology Practice Model. The Department worked with Community Based Care providers (CBCs), Sheriff's Offices, and national experts to develop this new assessment framework for making safety decisions.

In addition, the Department has taken great steps toward achieving full federal SACWIS compliance over the past several years. The Medicaid eligibility interface with the FLORIDA system was completed in spring 2015. Remaining activities include completing the interface with the national Interstate Compact for the Placement of Children (ICPC) system and ensuring that the system of care is utilizing FSN in a SACWIS compliant manner.

The Department continues to work with CBC Lead Agencies and other partners to make system changes that can improve the user's experience and ensure the adoption and use of FSN is consistent with the Child Welfare Safety Methodology Practice Model and SACWIS requirements. The Child Protection Summit 2014 was a milestone event. Key partners including the CBC CEOs, CIOs and Vice Presidents, along with representatives from judicial circuits and Sheriffs' Offices, unanimously approved a strategic vision (Figure 3: Florida Safe Families Network Strategic Blueprint) for FSN focused on meeting the business needs of and solving the challenges faced daily by child protective workers.

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

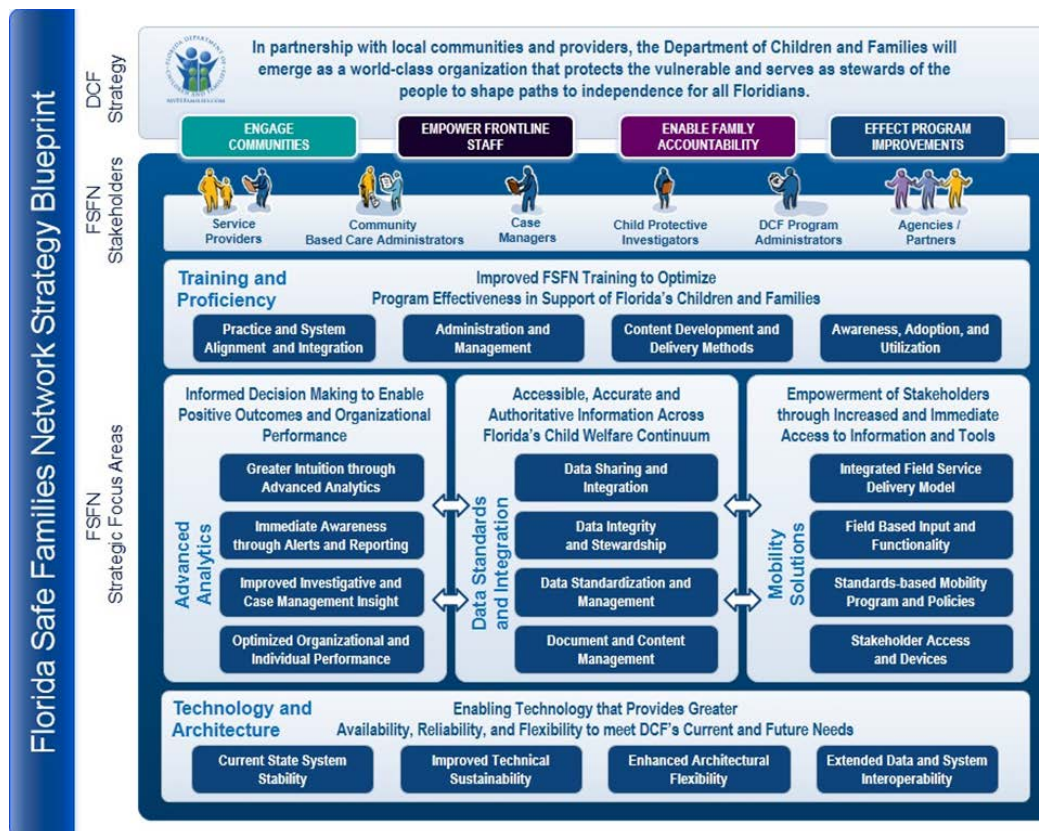


Figure 3: Strategic Blueprint

Ongoing input from the community is also voiced through a FSFN Governance Model. DCF has an established governance process to prioritize design and implementation efforts for future FSFN refinements. Figure 4 illustrates that governance process which was used by the Department to prioritize the project components included in this request. As shown, users can provide input through one of two user groups: one with DCF staff representatives and one with CBC staff representatives. Their input is then channeled through the FSFN Integration Team which determines the resources needed to make the changes. This information is then submitted to the Office of Child Welfare leadership staff to be evaluated against other needs so a recommendation can be made to the Secretary who determines the final prioritization. This Governance Model assures the community supports and agrees that these activities are highest priority.

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

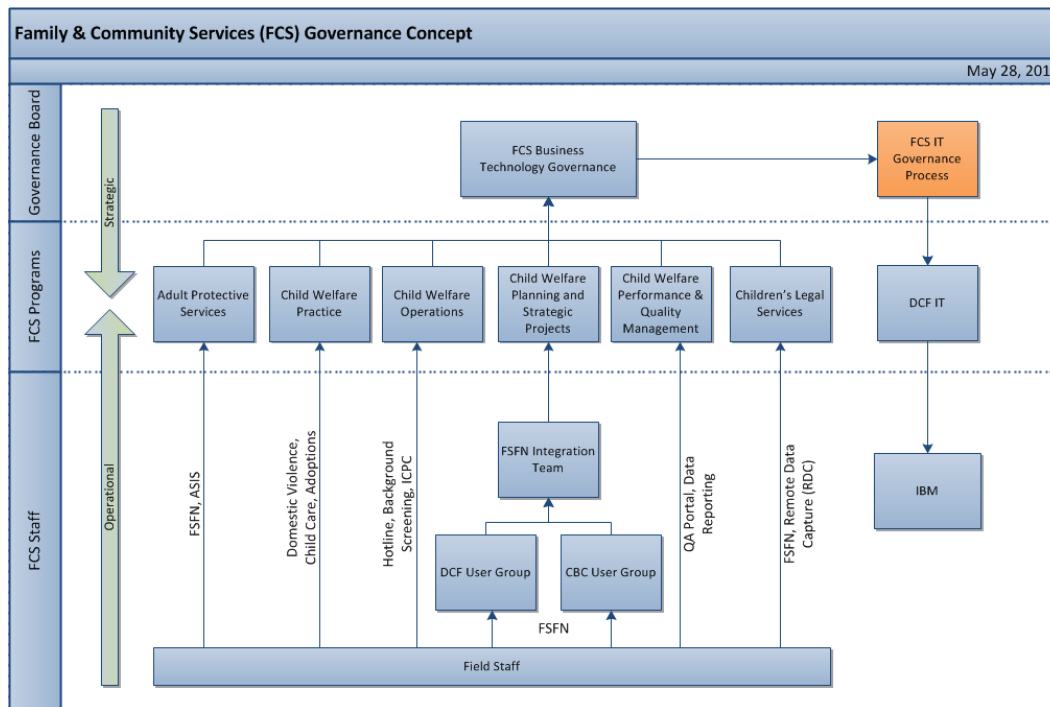


Figure 4: FSFN Governance Model

While recent FSFN improvements facilitated the child welfare communities' ability to work toward implementing the Strategic Blueprint, the community is demanding more information technology capacity to support the child welfare practice. Since the original functionality deployment in 2013, the stakeholder community has identified areas (see pages 9 and 10) in which the system does not provide sufficient support for the Child Welfare Safety Methodology Practice Model, requiring “work-arounds” and laborious manual processes. The changes proposed here will correct those that have been identified to date.

Meeting these expectations is dependent upon strengthening the capability of the Department to adequately support the FSFN application's aging architecture and respond quickly to business needs.

While the business related benefits derived from functional and technical enhancements, alone, provide sound justification for adequately resourcing the FSFN system, consideration must also be given to the risks associated with maintaining the current architecture. FSFN has performed well since its inception, however aging infrastructure means that routine maintenance and minor changes require more time and resources than would be needed otherwise. At the current funding levels, the Department is unable to respond to business needs as all existing support resources are diverted to keeping the FSFN system operational. Any failure or system degradation of FSFN would have a detrimental effect on the child welfare community that relies on data from the system to ensure the safety and well-being of Florida's most vulnerable citizens. Current funding must be used to ensure the daily system availability and reliability.

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

However, as the Child Welfare Safety Methodology Practice Model continues its statewide implementation, DCF expects continued growth in system usage. The aging architecture combined with the expected increase in usage present a legitimate risk to meeting business needs.

DCF is requesting funding for three components as part of this project to position the FSFN system to address the issues described, facilitate the statewide adoption of the Child Welfare Safety Methodology Practice Model and meet federal SACWIS requirements:

- Critical Business Needs - Child Welfare Safety Methodology Practice Model Refinements
- Critical Business Needs - Data Reporting Changes
- Architectural Improvements - Forms and Document Management

These are priorities identified by the child welfare community that can provide capabilities to meet their expectations and address immediate business needs, align the system with the existing practice model and implement upgrades to the current infrastructure. As such, these changes all support the agency's Goal 1 in the Long Range Program Plan, "Protect the vulnerable people we serve." Objective 1a is "Ensure vulnerable children are safe." Addressing these critical business needs will advance the quality of service delivery and improve the safety outcomes for the children of Florida. These enhancements are also critical to attaining statewide system adoption of the Child Welfare Safety Methodology Practice Model and meeting federal SACWIS requirements.

Critical Business Needs

The following FSFN changes were identified as Critical Business Needs for FY 2016-17. Every refinement requested is needed to better support the practice model. Currently, the system is running two sets of tools during the transition to this new model. Some staff are resistant to using the newer tools because they require "work-arounds" or they must resort to performing some functions manually in order to complete tasks. Although 100% of investigation documentation is being completed with the new set of tools, at least 85% of users are using the old set for remaining case management activities.

- ***Child Welfare Safety Methodology Practice Model Refinements*** - As of June 2015, all community partner agencies were utilizing the tools within the FSFN system. After the first full year of implementation, internal and external stakeholder groups provided feedback regarding areas of the FSFN system that do not operate properly to support the Child Welfare Safety Methodology Practice Model. The proposed refinements include several changes that will update the existing FSFN decision support tools to fully align the system with the safety practice model and current statute. Currently, the way FSFN functions results in a number of errors that impede data integrity and introduces increased risk to the safety of vulnerable children and adults:

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

- Some data entry prompts force the user to enter incorrect information (or “work-around”) in order to proceed with the case documentation;
- Some of the current programming is not aligned with recent policy updates, statutory changes or refinements to the Child Welfare Safety Methodology Practice Model, resulting in dated information being stored in the system; and
- Some of the programming is not accurately pre-filling information on templates from the most current source, so some documents are not providing the most recently available information on the case.
- **Data Reporting Changes** – Currently, data reporting does not fully support the CBC’s and their ability to monitor case work for accountability, yet they account for about 70% of the system users. This project component will incorporate all safety practice data elements into the reporting environment and make information more readily available to increase accountability within the child welfare community.

Architectural Improvements

Activities that strengthen support for the FSFN application are essential to maximizing the performance and outputs of FSFN and its related tools to better support field staff. Providing better forms and document management was not only identified by the child welfare community as a desirable business solution, creating such a system will necessitate improvements to the current FSFN architecture that will improve the overall function of the FSFN system.

- **Forms and Document Management** - Updating the technical architecture of the document creation platform will provide increased case worker efficiencies through more effective and efficient access to documents. A newer, industry-standard technology will give DCF and CBC staff the flexibility to create, edit, complete, and retrieve documents. FSFN enhancements that allow Child Protective Investigator (CPIs) and Case Managers (CMs) to properly store, classify and retrieve documents will greatly reduce time spent searching through paper documents and allow faster retrieval of information. This is vital when a decision must be made quickly to insure the safety of a child.

Currently, when changes are needed to forms and templates, a change request must be submitted to the FSFN team and waits in the queue until resources are available to make the changes. In addition, upgrading to a current platform will reduce the time required to make changes and alleviate some of the load on existing hardware.

2. Business Objectives

The Department uses a number of performance measures to track critical business processes related to child welfare. These are reported on annually and include the measures listed in Figure 5.

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These are not necessarily intended to be impacted in the short term by this project. The enhancements requested should, however, conserve resources so that more time can be spent with each victim and family. Over the long-term this is expected to translate into improvements in some of these performance measures.

| Child Protection and Permanency Performance Measures |
|--|
| Percent of investigations reviewed by supervisors with 72 hours of report submission. |
| Percent of victims of verified maltreatment who were not subjects of subsequent reports with verified maltreatment within 6 months. |
| Percent of child investigations commenced within 24 hours. |
| Percent of child investigations from an entry cohort completed within 60 days. |
| Percent of foster children who were not subjects of reports of verified maltreatment. |
| Number of finalized adoptions. |
| Number of investigations. |
| Number of children under protective supervision. |
| Number of children in out-of-home care. |
| Percent of adults who had an identified substance abuse need as a result of a child welfare Family Assessment who received substance abuse services. |
| Percent of children reunified who were reunified within 12 months of the latest removal. |
| Percent of children removed within 12 months of a prior reunification. |
| Percent adoptions finalized within 24 months of the latest removal. |
| The percentage of children in out-of-home care at least 8 days but less than 12 months who had two or fewer placement settings. |
| Percent of children in out-of-home care 24 months or longer on July 1 who achieved permanency prior to their 18th birthday and by June 30 |
| Number of children receiving in-home services |

Figure 5: Child Welfare Performance Measures

Instead, in order to evaluate the success of this project, the Office of Child Welfare has identified several business process improvements they expect to achieve as a result of this project, as discussed here.

Critical Business Needs

The overall objective of the project components identified to address critical business needs is to more fully align the FSFN system with the Child Welfare Safety Practice Model, advance the quality of service delivery and improve the safety outcomes for the children of Florida.

- ***Child Welfare Safety Methodology Practice Model Refinements*** - Successful implementation of these refinements will be measured by the following:
 - Duplication of casework (e.g., creating multiple ‘Family Functioning Assessments,’ Case Plans, “Judicial Review Social Study Reports,” etc.) will be reduced, providing a savings of 2 hours per case.

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- This will be assessed by taking a baseline measure of the amount of time spent reworking documents or using “work-arounds” in order to complete required case management tasks from a random representative sample of case managers and comparing those measures to similar measures taken with the same random sample after the enhancements have been implemented to determine the actual time saved.
- Based upon an estimated 30,873 cases this extrapolates to the equivalent of over 29 full time positions, which resources can be redirected to providing more time and better quality service to the vulnerable population that we serve.
- **Data Reporting Changes** – Successful implementation of these refinements will be measured by the following:
 - Time spent on data analysis by Case Manager Supervisors will be reduced by two hours per week.
 - This will be assessed by taking a baseline measure of the amount of time spent doing data analysis from a random representative sample of Case Manager Supervisors and comparing those measures to similar measures taken with the same random sample after the enhancements have been implemented to determine the actual time saved.
 - Based upon an estimated 418 supervisors for 52 weeks this extrapolates to the equivalent of almost 21 full time positions, which resources can be redirected to providing more time and better quality supervision to staff.
 - Time spent on data analysis by Child Protective Supervisors will be reduced by two hours per week.
 - This will be assessed by taking a baseline measure of the amount of time spent doing data analysis from a random representative sample of Case Manager Supervisors and comparing those measures to similar measures taken with the same random sample after the enhancements have been implemented to determine the actual time saved.
 - Based upon an estimated 229 supervisors for 52 weeks this extrapolates to the equivalent of over 11 full time positions, which resources can be redirected to providing more time and better quality supervision to staff.

Architectural Improvements

The objective of this project component is to modify the FSFN architecture so that it can better support the needs of CBCs, CPIs and caseworkers to ensure vulnerable children are safe.

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- **Forms and Document Management** – Successful implementation of this system will be measured by the following:
 - The number of change requests for revisions and customizations of forms and documents in the FSFN system will be reduced by 85%.
 - This will be measured by taking a baseline measure of the number of change requests for revisions and customizations of forms and documents in the FSFN system received during the 12 months prior to implementing the new system and comparing that measure to the number of change requests for revisions and customizations of forms and documents in the FSFN system received during the 12 months following implementation of the new system.

B. Baseline Analysis

1. Current Business Process(es)

Critical Business Needs - Child Welfare Safety Methodology Practice Model Refinements

The following are issues that have been identified by stakeholders as areas where the FSFN system does not fully align with the practice model. This project is intended to correct these discrepancies.

Child Investigation Updates - On every case where the allegations are determined to be Patently Unfounded, the FSFN system forces the CPI to assign final roles and official findings to the investigation. In cases where a child is deceased, the system forces CPIs to pick a 'Safe' or 'Unsafe' safety determination that is not applicable for a deceased child and requires further safety documentation be completed prior to closing an investigation. In both cases, the system is driving users to enter incorrect data that results in extra documentation time for CPIs and inaccurate data in our system. This project will eliminate requirements to enter irrelevant information when closing Patently Unfounded cases and for deceased children.

Child Maltreatment Updates - A maltreatment is behavior that is harmful and destructive to a child's cognitive, social, emotional, or physical development per F.A.C. 65C-30. There are 25 maltreatments that meet the Chapter 39, Florida Statutes, definitions of abuse, neglect and abandonment. DCF utilizes a maltreatment index within our system to guide consistent and accurate decision making by both the Florida Abuse Hotline (Hotline) counselors and field investigation staff. The standards include a definition of each specific maltreatment, factors to consider in the assessment of each maltreatment, frequently correlated maltreatments, excluding factors and the specific documentation needed to verify a maltreatment. In consultation with our internal and external stakeholders, there are several policy updates to the maltreatment index that need to be aligned between the FSFN Hotline Portal and FSFN systems. This project will align the FSFN maltreatment index with the Florida Hotline Portal and policy updates.

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Legal Module - Currently, the 'Legal Status' for cases that are not under court supervision are being coded as 'Voluntary.' However, the Department's Child Welfare Safety Methodology Practice Model does not allow voluntary participation when we are working with unsafe children and families; if they are not under court order, their 'Legal Status' is 'Non-Judicial.' This project will align 'Legal Status' options with this policy.

Child Investigations and Special Conditions Referral Workload Listing - The "Child Investigations and Special Conditions Referral Workload" in FSFN is one of the critical automated tools that Child Protective Investigation workers use to manage their daily workload and Child Protective Investigation Supervisors use to manage their employees daily workload. Currently, the present danger threat information, Safety Planning information, and Second Tier Consultation information on critical cases are not included on the "Child Investigations and Special Conditions Referral Workload" page in FSFN. Without this critical information workers could miss a case requiring a Second Tier Consultation to review the safety determination for a child. This project will add critical safety decision making information to the "Child Investigations and Special Conditions Referral Workload."

Family Functioning Assessment Updates - The current 'Family Functioning Assessment' section of the 'Child Safety Determination and Summary,' allows for one of three safety determinations:

- 'Safe - No impending danger safety threats that meet the safety threshold.'
- 'Safe - Impending danger threats are being effectively controlled and managed by a parent/legal guardian in the home.'
- 'Unsafe.'

The second option, 'Safe - Impending danger threats are being effectively controlled and managed by a parent/legal guardian in the home' is confusing and unnecessary. By definition, if the negative or out-of-control family conditions in the home are being effectively managed then the safety threshold has not been met and there is no danger threat present. In essence, the first two 'Safe' selections are based upon the same criteria and just worded differently. This project will eliminate inappropriate response options for the 'Child Safety Determination and Summary.'

Family Functioning Assessment Ongoing Updates - Currently, Danger Threats are only visible in the "Family Functioning Assessment - Investigations" document in FSFN. The FSFN modules used by Case Management to assess the family are the "Family Functioning Assessment - Ongoing" and "Progress Update." These modules show the 'Danger Threats' on screen but they do not print in the template documents generated. The workers must refer back to the original 'Family Functioning Assessment' completed by the CPI or the updated "Present Danger Assessment" to know what current 'Danger Threats' are being monitored. This adds extra work for case managers and case manager supervisors and increases the likelihood of missing information and risk to child safety. This project will add 'Danger Threats' to the "Family Functioning Assessment - Ongoing" and associated templates

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Case Plan Update and Judicial Review Updates - The “Judicial Review Worksheet” does not pull in the most recent information from the “Case Plan Worksheet” upon selecting ‘Refresh,’ as originally mapped; current system functionality does not support this. Not having this functionality is resulting in significant rework and could present a danger to child safety. This project will correct this problem by programming the system to pull information from the most recent “Case Plan Worksheet” to update the “Judicial Review Worksheet.”

The current Case Plan pre-fills with the most recently assigned worker with a case management profile and NOT the primary worker completing the “Case Plan Worksheet.” Community Based Care Agencies sometimes have other departmental staff who assign themselves as secondary to these cases for purposes of performing certain duties. Thus, when printing out the Case Plans, the document pre-fills with the most recently added worker who may be assigned as secondary. This has resulted in extra time to revise the Case Plan when the template is launched. This project will correct this problem by programming the system to clearly identify the current case manager for cases and pre-filling that information onto the Case Plan.

The current “Judicial Review Worksheet” asks if ‘the child is at least the age of 3 but under the age of 6...’ This is not consistent with Section 39.604(3), Florida Statutes:

REQUIREMENTS.—A child from birth to the age of school entry, under court-ordered protective supervision or in the custody of the Family Safety Program Office of the Department of Children and Families or a community-based lead agency, and enrolled in a licensed early education or child care program must attend the program 5 days a week.

This project will correct this by modifying the questions on the “Judicial Review Worksheet” to comply with Section 39.604(3), Florida Statutes.

The FSFN Judicial Review template provides the options of ‘Excellent,’ ‘Adequate,’ ‘Not Adequate’ or ‘No Progress’ as the ‘Overall Outcome Progress’ for each outcome. Section 39.701(2)(a)(5), Florida Statutes, requires the Judicial Review to include a statement that either: the parents ‘Did Not Substantially Comply,’ ‘Did Substantially Comply,’ or ‘Partially complied;’ however, there is no place in the new FSFN Judicial Review template to document this information. This project will correct this problem by changing the response choices on the “Judicial Review Worksheet” for ‘Overall Outcome Progress’ to comply with Section 39.701(2)(a)(5), Florida Statutes.

Progress Update Updates - If more than one “Progress Update” has been completed in FSFN, the Judicial Review court documentation pulls information from the initial “Progress Update,” not the most recent one. This project will correct this problem by pulling information from the most recent case information.

Once the “Family Functioning Assessment –Ongoing” is completed it locks the ‘Danger Statement,’ ‘Family Goal,’ ‘Ideas,’ ‘Potential Barriers,’ and the ‘Caregiver Protective Capacities’ scaling. If you complete a “Progress Update” and ‘Changes in

case plan needed' is selected you have to create a second "Case Plan Worksheet" to change the locked areas. This takes a lot of rework and creates duplicate "Case Plan Worksheets" in FSFN. This project will correct this problem by automatically updating the "Case Plan Worksheet" from progress updates.

Currently, field operations are struggling with the concept of Conditions for Return (CFR) in the Child Welfare Safety Methodology Practice Model. Though CFR should be assessed every 90 days during each progress update, DCF practice guidelines, along with the progress update generated in FSFN, do not clearly prompt the CM to go through the five 'Safety Analysis' questions again, for the continual assessment of CFR and the modification of safety plans. This project will correct this problem by adding the five 'Safety Analysis' questions to the "Progress Update."

Safety Plan Updates - When a family made arrangement is developed by the family on behalf of the child(ren) to keep a child safe, there is not official DCF removal and the system does not allow the "Safety Analysis and Conditions for Return" to be completed; however this information is critical to be assessed prior to the child(ren) returning home to ensure the long term safety of the child(ren). This project will correct this problem by requiring Safety Planning for family-made arrangements.

There is no FSFN field that captures information relating to children who are victims of sexual abuse or children who are sexually reactive, or whose behaviors might otherwise pose a risk to other children. This makes it difficult for placement units to know which providers have children with such challenges so that they can make informed decisions as to any new child to be placed with that provider. The lack of such field(s) in FSFN also makes it impossible to create reports that capture children meeting those criteria. This is a systemic statewide issue that has resulted in reliance on individual spreadsheets for identification of this sensitive population. This project will correct this problem by adding a data element that identifies child sexual abuse victims, children who are sexually reactive or whose behavior otherwise poses a risk to others and including that on relevant documents for case workers. At present, this safety plan does not meet the requirements of Safety Planning for sexually abused / reactive children as outlined in F.A.C. 65C-28.004 (10)(11) 5a-e. This project will address this by requiring a Behavior Management plan to manage the safety of children in out of home placements.

Critical Business Needs - Data Reporting Changes

Add Progress Update Data to FSFN Reporting Environment - A critical performance outcome identified in the "Results Oriented Accountability (ROA)" plan is ensuring that families will have the capacity to provide for their children's needs. Without the data from the "Family Functioning Assessment-Ongoing" and "Progress Updates" the Department is not able to evaluate performance on this outcome. At a local level, not having access to this data limits the ability of the Department and Community Based Care agencies to analyze data based on specific Danger Threats, Caregiver Protective Capacities, Child Needs, Safety Analysis and the quality of the safety plan. It also makes it impossible for the Department and providers to develop management reports that could provide critical information regarding potential

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child safety issues. This project will correct this problem by adding data from the “Family Functioning Assessment-Ongoing” and “Progress Updates” to the FSFN Reporting Environment and enabling managers to create reports that provide critical information regarding potential child safety issues.

Provide Community Based Care Agencies and Case Management Organizations Access to Assessment and Planning in FSFN Reporting Environment - Current FSFN database universes are not setup to allow Community Based Care(CBC) data analysts sufficient permissions to retrieve data from fields related to safety methodology assessment tools, to create reports that facilitate CBC monitoring of the Child Welfare Safety Methodology Practice Model implementation processes or to create and provide monitoring tools for Program Directors, which include time sensitive safety processes and activities. CBC staff cannot effectively support the daily activities of their Operations with the current setup in FSFN. These support activities include, but are not limited to: creating reports to monitor Child Welfare Safety Methodology Practice Model implementation processes, retrieving data to monitor Commercial Sexual Exploitation of Children activities, reports to monitor Runaways, and developing reports across circuits to monitor Human trafficking implications. This project will correct this by providing CBC Agencies and Case Management Organizations (CMOs) access to Assessment and Planning in the FSFN Reporting Environment.

Develop Real Time CBC Report - No real time reports exist for Community Based Care Agencies to pull real-time data on Case Management data points similar to the real time Child Protective Investigations Report. This results in Community Based Care agencies having to extract all available information and create ancillary data reporting and analysis tools just for CMs, Case Manager Supervisors, and Operational Leaders to complete their daily operational monitoring on critical child safety elements. This project will address this by creating a real time report for CBCs that is required for their daily monitoring.

Architectural Improvements - Forms and Document Management

A current challenge facing the Department is the inadequate ability to create and store documents electronically to support case workers’ needs. FSFN document forms and templates are also utilized to generate the required legal documents for court proceedings. CPs and CMs produce an average of 80 documents per case, remain heavily dependent upon paper-based documentation and lack the ability to initiate and complete electronic documents in the field. It would be very beneficial for an investigator or case manager to be able to access specific case documents while working in the field.

While FSFN has the ability to store documents as objects, it currently lacks the capability to properly classify and index them. This poses significant challenges, as the process for searching through individual documents requires excessive time to find the information required to support investigations and case work. The current forms and document management methods do not effectively support document creation, completion, and management.

Furthermore, the Department is relying on document management technology that is approximately 17 years old. Specifically, the Department is using a version of Microsoft Word templates that is no longer supported by Microsoft and various browsers. This project will address these issues by working with CBC's, service providers, and technical subject matter experts to clearly define requirements for improved forms, documents and content management and implement them.

2. Assumptions and Constraints

This section describes the assumptions made and the constraints identified pertaining to the aforementioned FSFN capabilities. Certain assumptions and constraints can be applied to all projects.

Assumptions

- Statutory and policy changes that affect the projects are made in a timely manner.
- Process and technology changes affecting other federal, state, and local partners are communicated and accepted in a timely manner.
- All components are implemented timely.
- Sufficient resources are available to support project implementation.
- Sufficient funding is granted to implement the projects.
- Project costs represent an estimate to be used for budgetary planning purposes only, as actual costs may vary.
- The costs may change based on the actual start date, detailed business requirements, specific details proposed by the vendor, and the amount of customization/integration necessary.
- Sufficient training is given to all necessary stakeholders on changes that impact them.
- Accurate and consistent data metrics from all necessary sources, both internal and external, are accessible.

Constraints

- All schedules depend on the continual availability of appropriated funds.
- State and/or federal statutory changes and changes in administrative rules may impact the project.

C. Proposed Business Process Requirements

DCF is requesting funding for three components as part of this project to position the FSFN system to facilitate the statewide adoption of the Child Welfare Safety Methodology Practice Model and meet federal SACWIS requirements:

- Critical Business Needs - Child Welfare Safety Methodology Practice Model Refinements
- Critical Business Needs - Data Reporting Changes
- Architectural Improvements - Forms and Document Management

1. Critical Business Needs - Child Welfare Safety Methodology Practice Model Refinements

Proposed Business Process Requirements

The following are high-level business requirements for Child Welfare Safety Methodology Practice Model Refinements:

- Eliminate requirements to enter irrelevant information when closing Patently Unfounded cases.
- Eliminate requirements for subsequent Safety Planning for deceased children.
- Align the FSFN maltreatment index to policy updates and with the Florida Hotline Portal.
- Align 'Legal Status' options with policy.
- Include critical safety decision making information on the "Child Investigations and Special Conditions Referral Workload."
- Eliminate inappropriate response options for the 'Child Safety Determination and Summary' determinations.
- Make danger threat information readily available to case workers.
- Ensure the "Case Plan Worksheet" identifies the primary worker assigned as case manager.
- Pull information from the most recent "Case Plan Worksheet" to update the "Judicial Review Worksheet."
- Align the "Judicial Review Worksheet" with Section 39.604(3), Florida Statutes.
- Align the "Judicial Review Worksheet" with Section 39.701(2)(a)(5), Florida Statutes.
- Pull the most recent case information for the Judicial Review.
- Pull the most recent case information from the Progress Update for the "Case Plan Worksheet."
- Add 5 Safety Analysis questions to the "Progress Update" in FSFN.
- Require Safety Planning for family-made arrangements.
- Identify child sexual abuse victims, children who are sexually reactive or whose behavior otherwise poses a risk to others for case workers.
- Require a Behavior Management plan to manage the safety of children in out of home placements.

Business Solution Alternatives

Alternative 1. Do not make the enhancements to the FSFN system.

Alternative 2. Complete all the business requirements to refine the ability of FSFN to support the Child Welfare Safety Methodology Practice Model and ensure compliance with SACWIS and statutes.

Rationale for Selection

The proposed changes to FSFN are all needed to align the existing FSFN system with the Child Welfare Safety Methodology Practice Model and statute and for Florida to

become Statewide Automated Child Welfare Information System (SACWIS) Compliant with Department for Health and Human Services, Administration for Children and Families.

Recommended Business Solution

The proposed implementation is recommended.

2. Critical Business Needs - Data Reporting Changes

Proposed Business Process Requirements

The following are high-level business requirements for Data Reporting Changes:

- Enable managers to develop management reports that provide critical information regarding potential child safety issues.
- Empower CBCs to create reports that facilitate monitoring of the Child Welfare Safety Methodology Practice Model implementation processes or to create and provide monitoring tools for Program Directors by providing CBC Agencies and CM Organizations (CMOs) access to Assessment and Planning in the FSFN Reporting Environment.
- Improve the ability of CBCs to complete their daily operational monitoring on critical child safety elements.

Business Solution Alternatives

The data reporting alternatives are:

Alternative 1. Manually track data elements and business processes and continue to leverage ancillary systems to provide sub-contracted provider level data.

Alternative 2. Make the proposed changes.

Rationale for Selection

It is essential that the Department and CBCs have timely and ready access to data and reports that provide critical information regarding potential child safety issues to increase accountability in the child welfare community. Having to manually access data or use “work-arounds” to produce reports is not timely nor does it make monitoring information readily available.

Recommended Business Solution

Alternative 2 is recommended.

3. Architectural Improvements - Forms and Document Management

Proposed Business Process Requirements

The Department should work with CBC’s, service providers, and technical subject matter experts to clearly define requirements for improved forms, documents and content management and implement them.

Business Solution Alternatives

Alternatives for this solution are:

Alternative 1. Rewrite the current functions to supported levels.

Alternative 2. Employ an open source solution.

Alternative 3. Employ Adobe Experience Manager and Adobe CRX as the software to provide the Forms and Document features desired.

Rationale for Selection

By moving away from Microsoft Word and ActiveX Controls, the Department can utilize more current industry-standard technology that is easier to support, maintain and enhance. In considering open source solutions, there was a concern about scalability for an enterprise application. Also, the open source solutions did not have all of the features provided by Adobe Experience Manager and CRX.

Recommended Business Solution

Alternative 3 is recommended.

4. Changes to Performance Measures

Section II.A. outlined current performance measures being tracked by DCF for the Long Range Program Plan. At this time, the Department does not anticipate changes to these measures as a result of implementing the proposed enhancements. However, project-specific measures that relate to time savings and cost avoidance will be implemented to track and manage benefits realization for the project. For more information, see Section II.A and the Benefits Realization Table.

D. Functional and Technical Requirements

Appendix A contains the functional and technical requirements analysis documentation completed on the needed system improvements and project support for the requested technology.

III. Success Criteria

| SUCCESS CRITERIA TABLE | | | | |
|--|---|--|---------------|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| Critical Business Needs - Child Welfare Safety Methodology Practice Model Refinements | | | | |
| 1 | System alignment with child welfare safety methodology practice model | Duplication of casework (e.g., creating multiple 'Family Functioning Assessments,' Case Plans, "Judicial Review Social Study Reports," etc.) will be reduced | CBC's and DCF | December 2017 |
| 2 | Reduced helpdesk support needed with the improved system support | Fewer helpdesk tickets | CBC's and DCF | December 2017 |
| Critical Business Needs - Data Reporting Changes | | | | |
| 3 | User community utilizes FSFN reporting environment to manage the business process and inform quality improvement projects | Increase in positive findings on the statewide quality assurances reviews of child safety, permanency, and well-being | CBC's and DCF | December 2017 |

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| SUCCESS CRITERIA TABLE | | | | |
|---|---|---|-------------------------|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| Architectural Improvements – Forms and Document Management | | | | |
| 4 | Meet CBC demand for forms that can be adjusted to meet local requirements | Number of revisions and customized forms developed requested from the FSFN team throughout the year | Families, CBC's and DCF | December 2017 |
| 5 | Reduced production support for required forms and templates | Reduction in form related helpdesk support tickets | Families, CBC's and DCF | December 2017 |

Figure 6: Success Criteria Table

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

A. Benefits Realization Table

| 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 | FSFN Case Management Safety Methodology Refinement | Tangible | Community-Based Care Lead Agencies and Providers | Reduction in duplication of case work creating multiple FFAs, Case Plans, JSSR and progress updates. | Hours per case of avoided duplicate case work. | June 2017 |
| 2 | FSFN Case Management Supervisor Report Enhancement | Tangible | Community-Based Care Lead Agencies and Providers | Streamline the amount of time spent on data analysis by Case Manager Supervisors. | Hours avoided collecting, organizing, and analyzing data by case management leadership. | June 2017 |
| 3 | FSFN CPI Supervisor Report Enhancement | Tangible | DCF | Reduction in the amount of time a Child Protective Supervisor spends on data analysis to meet daily operational requirements. | Hours avoided collecting, organizing, and analyzing data by investigations leadership. | June 2017 |

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| 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) |
| 4 | Forms Replacement | Tangible | DCF, CBCs, and Providers | Meets demand for customized templates and document generation specific to an organization or circuit without changing standard content and without a prolonged development lifecycle. | Number of revisions and customizations to forms throughout the fiscal year. | June 2017 |

Figure 7: Benefits Realization Table

B. Cost Benefit Analysis (CBA)

1. The Cost-Benefit Analysis Forms

Appendix B contains the Cost Benefit Analysis Forms completed for this request.

2. Project Costs Summary

Figure 8 provides a summary of the costs associated with this request.

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| Project Cost | FY16/17 |
|--------------------------------|--------------------|
| Critical Business Needs | |
| Safety Methodology Costs | \$5,127,870 |
| Reporting Costs | \$1,570,140 |
| Architectural Costs | |
| Professional Services | \$924,320 |
| Software Licensing | \$1,100,000 |
| Data Center Services | \$900,000 |
| TOTAL | \$9,622,330 |

Figure 8: Project Costs Summary

V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary

The Risk Assessment Summary is a graphical representation of the results computed by the Risk Assessment Tools (Appendix C). As shown on the next page (Figure 9), the summary matrix depicts that the business case to strengthen the FSFN system achieves business strategy alignment and carries a moderate level of risk. The project risks will be managed in accordance with the Risk Management plan found in the Project Management Planning section of this document.

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| | | |
|--|---|----------------------|
| Project | <i>Strengthening Child Safety Practice Through Technology</i> | |
| Agency | <i>Department of Children and Families</i> | |
| FY 2016-17 LBR Issue Code: | FY 2016-17 LBR Issue Title: | |
| <i>Issue Code</i> | <i>Issue Title</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Marc Slager - 850-320-9299 - Marc_Slager@myflfamilies.com</i> | | |
| Executive Sponsor | <i>JoShonda Guernier</i> | |
| Project Manager | <i>Alicia Dyer</i> | |
| Prepared By | <i>Marc Slager</i> | <i>7/30/2015</i> |
| Risk Assessment Summary | | |
| Business Strategy | Most Aligned | Least Aligned |
| | Least Risk | Most Risk |
| | | |
| Project Risk Area Breakdown | | |
| Risk Assessment Areas | | <i>Risk Exposure</i> |
| Strategic Assessment | | LOW |
| Technology Exposure Assessment | | MEDIUM |
| Organizational Change Management Assessment | | MEDIUM |
| Communication Assessment | | MEDIUM |
| Fiscal Assessment | | MEDIUM |
| Project Organization Assessment | | MEDIUM |
| Project Management Assessment | | MEDIUM |
| Project Complexity Assessment | | MEDIUM |
| <i>Overall Project Risk</i> | | MEDIUM |

Figure 9: Major Project Risk Assessment Summary

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of current system

The child welfare community responsible for implementation of the Child Welfare Safety Methodology Practice Model is comprised of a large, diverse group of professionals and partners including approximately 14,700 active FSFN users. These stakeholders, of which approximately 70% are non-DCF employees, span more than 350 organizations. The various roles and types of professionals that collaborate to conduct the core business of Child Safety include judges: Sheriff's Office Investigators and Supervisors; Guardians ad Litem; CBC Administrators, Case Managers and Supervisors; Community Agencies/Partners; Community Service Providers; DCF Hotline, Intake and CPIs, Supervisors and Program Administrators, and foster parents. Less than 1%, or 50, of these users are considered Super Users based on their mastery of the FSFN system; less than 1%, or 76, are infrequent users but almost all users enter data of some type into the system.

FSFN users generate on average over 700,000 transactions daily.

All FSFN users must obtain access privileges through a security officer. Once privileges are granted, any access requires the user's FSFN security credentials in order to log on. To control access to Department systems and information the security team:

- Administers system access controls;
- Administers User IDs and ensures their timely deletion as appropriate; and
- Monitors violations.

To secure sensitive or confidential Department data from unauthorized access:

- System audits are performed and help identify misuse and violations; and
- Routine efforts are made to identify and investigate possible security risks and exposures.

To maintain the integrity of Department data:

- Data loss prevention measures are in place, along with
- Virus protection, detection, and clean-up.

FSFN is a web browser-based application built on Java Enterprise Edition with a mainframe DB2 database. Currently, the FSFN application can only be accessed through Internet Explorer, IE 10 and IE 11 running in "Compatibility Mode." Additionally, FSFN has limited web services capability to communicate with external systems. Web services enable external systems to access and change FSFN primary data stores in real-time. However, the technology supporting web services is not equipped to handle all data communication needs. There is a heavy reliance on batch processes, inherited from the original transfer state, that are neither timely nor compatible with current technology solutions. Additionally, the programming

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language (COBOL) used to support these batch processes is dated and COBOL programmers are difficult to find.

Specific issues with the current FSFN IT environment include:

- Aging middle tier hardware
 - Aging hardware architectures are slower (e.g. slower memory access schemes) and do not make optimal use of expensive software licenses.
 - Aging hardware is more prone to failures that may compromise system availability during critical times.
 - Aging hardware is more difficult to obtain parts and service for.
- Middle Tier should leverage Virtualization Technology
 - Virtualization technology enables a substantial reduction in the time required to return to operations at a secondary site in the event of a disaster at the system data center.
 - The FSFN system is a mission critical system requiring a short time to Return to Operations (RTO) so that gaps in support of child protective services are minimal.
 - Virtualization technology enables more effective use of hardware resources and reduces the need for additional hardware by balancing workloads across a network of clustered machines.
- Database backup technology for middle tier is inadequate to support the volume of hosted data
 - Key data stores, which are required in order for the system to function, cannot be recovered in a timely manner at a secondary site in the event of a disaster at the primary data center. This exposes the Department to the risk of operating without the system for days or weeks in the event of a disaster.
 - The Recovery Point Object (RPO) defines how much data that was entered into the system may be lost when the data is restored at the recovery data center; at present this is likely to be as much as 24 hours of data entry that could be lost on recovery. Modern backup and recovery strategies designed to meet the needs of mission critical systems such as FSFN enable recovery with effectively no data loss.
 - The recovery objectives for the FSFN databases on both the middle tier and the mainframe must be synchronized and should target very short recovery times with minimal data loss. At present neither can be recovered quickly and both are subject to intolerable levels of data loss.
- Middle Tier OS and system software is out of service; furthermore, some are still running on 32 bit technology which does not utilize the hardware as effectively
 - 32 bit technology does not efficiently manage the large memory (greater than 4GB) requirements of modern hardware and software systems.
 - The Business Objects Data Integrator software used for high volume data transformation processes is especially constrained by 32 bit technology.

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- While a 32 bit operating system may be installed on a 64 bit processor machine, the operating system can't address all of the memory typically installed in these newer machines.
- Current software versions required to replace the non-supported versions used in production today are not available in a 32 bit format, only 64 bit is offered.
- Browser dependence due to use of proprietary Microsoft Internet Explorer syntax
- Because the application can only run IE, accessing the system with other browsers is not possible. Customization of Java Libraries complicates upgrade of Java and WebLogic components (i.e. recoding and regression testing required)
 - One example of this issue is the JDBC libraries used to access the system database. These libraries have been extended to provide enhanced diagnostics to enable capabilities such as orphaned database thread detection. Orphaned database connections freeze a system and were one of the primary reasons for the instability of the HSN system that preceded FSFN as the Florida SACWIS solution. While the code changes needed to address this particular example are quite simple, there are other library changes that will need to be diagnosed and addressed.
- The online reporting environment for FSFN is the SAP Business Objects Enterprise system. This system enables users to build, execute and view reports on FSFN data using a web browser. However, some reports use an obsolete Business Objects reporting tool known as Deski and will need to be dropped or recoded (10 K hours estimated effort).
 - The Deski reporting tools was the primary report development tool for the Business Objects Enterprise environment when the FSFN system was developed. This tool was used to develop the most complicated reports in the system that required enforcement of complex data ownership rules (based on the organization profile of the report viewer) governing display of sensitive case data.
 - Subsequent to the deployment of FSFN, SAP announced Crystal Reports would replace Deski as the high end report tool for Business Object Enterprise.
 - Deski reports will not run in current versions of Business Objects Enterprise.
 - If reports based on the Deski tool are still needed by the FSFN user community, these reports will need to be rewritten in Crystal Reports before the Business Objects Enterprise server can be upgraded to a current supported release level.
 - The version of Business Objects Enterprise currently in use by FSFN utilizes Active X technology to provide advanced capabilities in the user interface. While there are other user interface options available that do not require Internet Explorer and Active X, these options do not provide

the same high quality user experience. Accordingly, until the Business Objects Enterprise system can be upgraded to a current release level, an upgrade of the Internet Explorer version may entail a degradation of the user experience in the online reporting environment.

- Custom code objects that are used to trap common hacker threats such as cross-site scripting and SQL injection are not compatible with new WebLogic Release levels
 - While the FSFN system is accessible only through the intranet and is not currently exposed to the internet where such threats are ubiquitous, the Department has nevertheless been advised that these security measures are critical to the integrity of the system.
 - Rather than make the coding changes needed to enable these programs to run in more current WebLogic release levels, the Department should consider removing these program controls and replace them with a modern Load Balancer that includes a web application firewall component that provides this same service using more sophisticated and comprehensive technology.

There is extensive documentation available for the FSFN system to all users. This is available on-line and includes a Desktop Guidebook, User Guides, How Do I Guides, Job Aids, Forms and Templates and Topic Papers.

FSFN Data Warehouse and Reporting System

The FSFN system includes a data warehouse and reporting system based on SAP Business Objects Enterprise (BOE) business intelligence suite. The data warehouse, which is updated in a nightly batch cycle, contains a full copy of the online database with additional data marts built to support core DCF reports. There are a few critical tables required to support operational reports that are updated more frequently during business hours. The system includes a business intelligence platform that provides user-friendly, web based access to build and execute reports. The data warehouse is also the source for file-based interfaces with CBC providers and other departmental systems. The BOE system is integrated with FSFN through a single sign on interface.

The BOE system is a world class reporting solution and it is fully deployed on the FSFN system over a complete data warehouse. While this platform has many positives, there are some serious issues and deficiencies with the solution that need to be addressed. These include:

- The need for current data to be updated frequently throughout the business day in the reporting environment to support timely operational reporting
- The nightly CBC extract process requires excess levels of maintenance, is difficult to maintain as the system increases in size and scope, and does not fully meet the operational needs it supports
 - There is a need for a comprehensive set of web services to replace these unidirectional batch processes that provide real-time access for the CBC's

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(using traditional as well as mobile digital technologies) to read and write the FSFN primary data store under a well governed API.

- The need for a solution with long term viability that provides support for CBC reporting processes that join FSFN data to support monitoring and analytic processes
 - Analysis is required to define the functional and technical requirements as well as constraints that apply to the design of this solution.

Core Application

The following provides lists of components comprising the core FSFN application:

- Server side Java, Java Enterprise Edition (JEE)
 - Java 1.5 is a 32 bit version of Java that is now obsolete and unsupported. While the system is for the most part compatible with new versions of JEE, there are a few known issues that will need to be addressed in order to upgrade to a supported release and there are expected to be a few unknown issues to be discovered in the course of the upgrade.
 - Improvements to Java to address security vulnerabilities as well as stability issues are not available in obsolete release levels.
 - Struts 1.0 is used to provide the application framework. This framework dates to 2002 and may pose issues when the system is upgraded to a supported JEE platform.
- Browser objects: HTML, CSS (Cascading Style Sheets), and JavaScript
 - The SACWIS system on which FSFN is based was built to run in Microsoft Internet Explorer over a decade ago and utilized proprietary extensions to enable dynamic user interface that is not fully supported by W3C standards at this time.
- Mainframe DB2 database for primary data repository
 - FSFN utilization of mainframe resources is running well ahead of projections and if unchecked will require expensive upgrades to mainframe capacity ahead of schedule.
 - No excess capacity is available on the mainframe to support real-time report access from the BOE platform. While BOE could be configured to access the primary DB2 database to meet real-time operational reporting needs, doing so would have a negative impact on FSFN performance and availability. This could be mitigated using advanced features in the mainframe load balancing scheme but the excess capacity does not exist to make this worthwhile.
 - Real-time replication of data from the mainframe DB2 database to the FSFN data warehouse on the middle tier is not accounted for in the system infrastructure, so extensive custom code work would be required to enable real-time replication of the data to the middle tier. This would also utilize additional mainframe resources throughout prime time system hours when those resources are already constrained.

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- DB2 syntax on the middle tier edition of DB2 is compatible with mainframe DB2 syntax. Accordingly, it is feasible to move the FSFN database (i.e. DB2) from a mainframe platform to a LINUX platform with minimal recoding of SQL to address performance differences.
- COBOL for FSFN financial batch processes and the FSFN Birthday age-out batch
 - All other legacy COBOL batch jobs were converted to Java when FSFN was initially built.
 - There is a recommendation under consideration that these remaining COBOL jobs be converted from COBOL to Java.
 - These jobs are especially complex and fragile.
 - These jobs make a very large number of complex database calls in the course of execution.
 - High performance Java batch coding requires an extended set of skills to achieve tolerable performance levels and to achieve robust restart capabilities.
 - Meeting performance objectives for the financial batch process entails extensive changes to the underlying database structures and process logic to reduce database processing. This level of redesign would require a data architect to facilitate as well as a senior Java architect.
- Batch Java for batch processes manipulating the primary database
 - Security controls for the database connection from Java batch processes are inadequate and require the attention of a senior technical architect to upgrade to a current solution.
 - FSFN Java batch processes do not leverage a strong Java batch framework such as the Spring Batch framework. A strong framework provides important process integrity services such as checkpoint restart. A strong framework should be installed and development standards specific to the framework should be developed and published before conversion of the remaining COBOL jobs is undertaken.
- User activity audit database and document repository stored in DB2 for LINUX
 - The audit database accumulates 2.5 TB of data each year. This volume of data complicates system recovery in a disaster scenario and will require infrastructure upgrades.
 - Increased use of digital media such as photographs, audio, and video used for investigative evidence requires enhanced infrastructure to support.
- Interfaces with FLORIDA, a mainframe IMS base system, are built on Spring framework and IMS Connect
 - Routine changes to FLORIDA screens or screen flows may break this interface if not communicated to the FSFN team and tested in the course of FLORIDA system maintenance.

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- Stronger coordination of maintenance plans between the two systems is required.
- DCF Departmental enterprise system used for address validation and standardization
 - This resource can be further leveraged to enrich FSN data with geo spatial information.
- IBM Tivoli LDAP used for authentication and high level authorization (managed by departmental Tivoli Identity Management system), custom database used for finer grained authorization managed within the application
 - This is a stable aspect of the system.
- Rich Text Format (RTF) document exchange format for Microsoft Word Windows / MacIntosh document exchange used for document and template generation
 - The RTF template infrastructure is reliant on obsolete Active X technology that will need to be replaced before the system can utilize current internet browser versions.
 - RTF template development is an inefficient process that is reliant on a growing body of exception process documentation to assist developers in working through otherwise intransigent issues.
 - A key aspect of the system stabilization plan is to convert the RTF document framework to a modern, robust document generation framework or dedicated form service.
- iText used for PDF document generation
 - The version of iText in use is unsupported and requires upgrades to accommodate an upgrade of the JEE platform to a current release.
 - This is not an extensively utilized component and may be a candidate for replacement with the new generation framework or form service.

Data Warehouse

The following components comprise the Data Warehouse platform:

- SAP Business Objects Enterprise (BOE) technology
 - This is a world class reporting platform.
 - The release level currently in use by FSN is not supported by the vendor and will need to be upgraded to remain viable.
 - There are some known issues such as the use of the obsolete Deski report tool that will need to be addressed in order to upgrade the platform to a supported release level.
 - It is expected some as yet unknown compatibility issues may be discovered in the course of the platform upgrade and time should be allotted for testing and remediation.

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- SAP BOE product bundles and licensing models have changed and some negotiation with SAP will be necessary to acquire the proper installation components for the upgrade.
- SAP Business Objects Universes provide meta data to enable user friendly navigation of data to build reports dynamically from the browser
 - This metadata tier also supports data access restrictions based on the user's FSFN organization profile.
- Webi tool used for online report creation within the browser
 - The rich user interface provided for this tool in the release level currently used by FSFN uses obsolete Active X technology.
- Crystal Reports tool used to create formal reports
 - This too will need to be upgraded.
- Deski Report tool used for older formal reports
 - Reports developed with this tool will not execute in current releases of BOE.
 - Converting these complex reports will be a substantial effort if necessary.
- SAP Business Objects Data Integrator (BODI) used to build and maintain the data warehouse and data marts
 - The release of BODI currently used by FSFN is obsolete and no longer supported by SAP.
 - The release of BODI currently used by FSFN runs on an obsolete 32 bit operating system (OS). The 32 bit process spaces provided by the OS is constrained to 1 GB, which imposes a severe restriction on the efficiency of BODI processes. These constraints compromise the stability and performance of BODI processes with an increasing frequency as the system grows. Upgrade to a 64 bit version of Windows Enterprise is required for the stability of the BODI processes.
 - FSFN makes extensive use of this very sophisticated tool and it is expected that some as yet unknown issues will be encountered in the course of the upgrade that will need to be remediated.

b. Current system resource requirements

The operating system and third party system software running in the IBM mainframe environment is all readily available industry standard software. The application programming language and the database management systems are mature software with over 30 plus years of availability. The software vendors continue to support and develop new features within both the operating system software and database management systems.

The current mainframe environment is hosted on an IBM business class CPU. The current mainframe installed at AST-North is an IBM model Z114 Y04 with a capacity rating of 2,293 on the Processor Capacity Index (PCI). It is running z/OS version 13 of the operating system with version 13 of IMS for the FLORIDA system and DB2

version 10 for FSFN.

The mainframe environment is supported and maintained by a systems support staff consisting of 5 state FTE and 4 contractors. It is monitored and operated 24 X 7 by three shifts of computer operators totaling fifteen state FTE positions. Job setup and scheduling is provided by a staff of 5 state FTE positions. The current mainframe is leased from IBM and the cost of the lease includes hardware maintenance and support. The software running in the mainframe environment is kept current by software maintenance and fixes supplied by the software vendor. All software licensed for use in the environment has maintenance and support included in the price from the vendor. Maintenance is applied to the software on a regular and timely basis after it is made generally available by the software vendor. This keeps the operating system and third party software running as efficiently as possible. The current cost of the hardware environment is \$1,135,884.00 annually.

c. Current system performance

The current mainframe installed at the AST-North location is running at an average of 98.6% utilization and will not support additional growth or added functionality to the FSFN application. At the current growth rates, the existing capacity of the IBM mainframe will be depleted at the end of the 2015-2016 fiscal year, and the performance of FSFN will begin to degrade. As it currently stands, batch performance is hampered because the mainframe runs at 100% capacity at night, thus causing some jobs to take longer.

This issue will be addressed through a directive from the 2015 Florida Legislature:

From the funds in Specific Appropriation 300, the sum of \$1,000,000 from existing General Revenue appropriations within this category shall be placed in reserve and provided to the Department of Children and Families for the Florida Safe Families Network (FSFN) application. The department shall collaborate with the Agency for State Technology to develop a proposal for moving the FSFN application development, test and production environments to an external service provider cloud computing service; such a service must include disaster recovery support and must comply with all applicable federal and state security and privacy requirements. At a minimum, the proposal must: (1) identify the types of cloud computing services considered with a detailed cost benefit analysis that documents all costs and savings, and qualitative and quantitative benefits involved in or resulting from the migration of the FSFN application to an external service provider cloud computing service; (2) identify any applicable federal regulations that must be addressed and federal approvals that must be received prior to relocating the FSFN application; and (3) include an implementation plan with a proposed project schedule and timeline for migrating the FSFN application to an external service provider cloud computing service no later than June 30, 2017. The Department of Children and Families

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must submit the proposal to the President of the Senate, the Speaker of the House of Representatives, and the Executive Office of the Governor's Office of Policy and Budget by October 30, 2015. Contingent upon the submission of the proposal, the department is authorized to submit a budget amendment to release the funds placed in reserve pursuant to the provisions of chapter 216, Laws of Florida.

2. Information Technology Standards

The following table outlines the Information Technology standards for FSFN:

| Component | Standard |
|---|--|
| Framework | Java Enterprise Edition |
| Web Page Development Language | Java Server Pages with Struts framework build HTML pages |
| Web Services | W3C |
| Cascading Style Sheets | W3C |
| HTML | W3C |
| JavaScript | W3C (legacy components utilize Microsoft proprietary extensions) |
| Database Queries | SQL (ANSI standard with IBM proprietary extensions) |
| Business Logic | COBOL |
| Application Protocol / Distributed Directory Information Services over IP | Lightweight Directory Access Protocol (LDAP) |

Figure 10: Information Technology Standards

B. Current Hardware and/or Software Inventory

Network

Provided by Northwood Shared Resource Center (NSRC).

Core System – Mainframe

- Hardware – hosted on a single shared mainframe with logical partitions dedicated to test and production systems for both FSFN and FLORIDA including a high speed tape system with disk buffering and enterprise storage
- Operation System (OS) – the virtual system is z/OS – Version 2.1 (V2R1) / September 30, 2013
- Database – DB2 – Version 11

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- Application – COBOL – Version 5, Release 1

Core System – Middle Tier

- Hardware – Hewlett Packard servers (e.g., acquired in 2007) with tape backup system utilizing Enterprise Storage Array
- OS – hosted individual hardware with exception of some hypervisor based non-production systems utilizing a mix of 32 bit and 64 bit LINUX
- Microsoft Enterprise 2003 (32 bit)
- Database Platform – three types listed below:
 1. DB2 for LINUX; user activity audit, image and document repositories, supported release but not most current release
 2. Oracle for return step of eligibility interface
 3. DB2 clients on application servers – multiple release levels and editions

Application

- Java Enterprise Edition 1.5 (Sun implementation)
- Java Standard Edition 1.5 (Sun implementation)
- BEA WebLogic application server
- iText
- Struts 1.0 (Customized)
- Numerous WebLogic 9.2 library dependencies
- Custom implementations of core Java libraries

Core system client

- Microsoft Internet Explorer 9 in 32-bit mode
- Microsoft Internet Explorer 10 and 11 in “Compatibility Mode”
- Microsoft Office 2010 Suite

Data Warehouse Middle Tier

In addition to the components described in “Core System – Middle Tier” above:

- SAP Business Object Enterprise (BOE)
- SAP Business Objects Data Integrator (BODI)
- BEA WebLogic application server
- Java Enterprise Edition

Business Intelligence Client

- Microsoft Internet Explorer 9 (for Active X version of pages) – Other browsers supported
- Microsoft Office Suite

Development Infrastructure

- IBM Rational ClearCase (CC) – NSRC
- IBM Rational ClearQuest (CQ) – NSRC
- IBM Rational Requirements Composer (RRC) – NSRC
- IBM Rational Quality Manager (RQM) – NSRC
- IBM Rational Performance Tester (RPT) – NSRC

- IBM Rational Security AppScan – NSRC
- Section 508 scan tool - NSRC

Developer Workstation

- Eclipse
- Rational System Architect (RSA) 8.5.1
- Rational ClearCase plugin for Eclipse / RSA
- Rational ClearQuest plugin for Eclipse / RSA
- Microsoft Office Suite (2003-2010)

C. Proposed Solution Description

1. Summary description of proposed system

The Department is proposing three project components to address the identified needs.

The solution for addressing the Critical Business Needs will include system edits to align system processes with policy and practice updates, the creation or modification of reports to facilitate case monitoring and modifications to the data environment to increase access to data and reporting functions for non-DCF employees.

The proposed solution for resolving Forms and Document Management needs are to integrate Adobe Products with the existing FSN application. Adobe Enterprise Manager (AEM) and Content Repository eXtreme (CRX) are the recommended products to be integrated. Adobe Experience Manager is a tool that provides both Authoring and Publishing capabilities. Authoring allows users to create their own form templates and test those templates against a data source. Publishing allows templates that have been deployed to be executed against multiple data sources. The Content Repository eXtreme is the recommended document management tool. In addition to serving as a document management tool, the tool also provides the capability for cataloging electronic files. The Java Content Repository (JCR) component provides an API for external applications to integrate and access the document management capabilities.

The Forms and Document Management initiative identifies the need for a stable solution for document management. Some of the specific needs are:

- Provide better categorization and retrieval of documents
- Reduce time spent searching through paper documents
- Introduce the ability to create and complete electronic documents in the field
- Allow users to access specific case documents from the field
- Increase flexibility of the Department to create, edit, complete and retrieve documents

Efforts to address these needs will follow the Department's Software Development Life Cycle:

- Project Planning
- Analysis
- System Design

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- Construction
- Integration & Testing
- User Acceptance Testing
- Implementation

Any connectivity requirements will be met by leveraging existing hardware and software resources. Any required interfaces will be determined through the design planning process, in consideration of existing system connections and interactions.

Security requirements will adhere to existing Department requirements. All FSFN users must obtain access privileges through a security officer. Once privileges are granted, any access requires the user's FSFN security credentials in order to log on.

To control access to Department systems and information the security team:

- Administers system access controls;
- Administers User IDs and ensures their timely deletion as appropriate; and
- Monitors violations.

To secure sensitive or confidential Department data from unauthorized access:

- System audits are performed and help identify misuse and violations; and
- Routine efforts are made to identify and investigate possible security risks and exposures.

To maintain the integrity of Department data:

- Data loss prevention measures are in place, along with
- Virus protection, detection, and clean-up.

Any required procurement will follow State of Florida procurement guidelines. The maturity and life expectancy of the solutions will be determined in part by changes in technology which cannot be predicted. However, these characteristics will be positively impacted by the fact that infrastructure upgrades required to develop and implement the solutions will utilize current technology.

2. Resource and summary level funding requirements for proposed solution (if known)

The costs associated with the solutions described here are summarized in Figure 8: Project Cost Summary.

The proposed solutions to address Critical Business Needs will function with the existing technical platform and hardware and software resources as described in the 'Current Hardware and/or Software Inventory' in section VI. B. of this document. This is not expected to change the services that will be required of the state data center to support these changes.

However, the following will be required for the Forms and Document Management initiative.

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Production Environment

| | |
|---------------------------|---|
| Server Count | 4 |
| Processor Count | 1 |
| Disk Space | 1 TB |
| Memory | 16 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | Installed with AEM |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | These servers will be both a publishing server and authoring servers that are running in a cluster. |

Test Environment

| | |
|---------------------------|---|
| Server Count | 1 |
| Processor Count | 2 |
| Disk Space | 300 GB |
| Memory | 16 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | Installed with AEM |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | Server can serve as both the Authoring and Publishing Environment |

Development Environment

| | |
|---------------------------|---|
| Server Count | 1 |
| Processor Count | 2 |
| Disk Space | 300 GB |
| Memory | 16 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | Installed with AEM |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | Server can serve as both the Authoring and Publishing Environment |

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Adobe Content Repository eXtreme

Production Environment

CRX Server

| | |
|---------------------------|--|
| Server Count | 1 |
| Processor Count | 4 |
| Disk Space | 5 TB |
| Memory | 32 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | IBM WebSphere 8.5 |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | This server operates as the primary Content Repository |

JCR Server

| | |
|---------------------------|---|
| Server Count | 1 |
| Processor Count | 4 |
| Disk Space | 500 GB |
| Memory | 32 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | IBM WebSphere 8.5 |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | This server provides an API for external applications to access document management capabilities of the CRX platform. |

Test Environment

| | |
|---------------------------|---|
| Server Count | 5 |
| Processor Count | 2 |
| Disk Space | 1 TB |
| Memory | 16 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | IBM WebSphere 8.5 |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | Server acts as both the primary content repository and serves the JCR API |

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

Development Environment

| | |
|---------------------------|---|
| Server Count | 5 |
| Processor Count | 2 |
| Disk Space | 500 GB |
| Memory | 16 GB |
| Operating System | RedHat Enterprise Linux 7 |
| Application Server | IBM WebSphere 8.5 |
| Database Driver | IBM DB2 V10.x |
| Java Version | Java Enterprise Edition 7 (JDK 1.8) |
| Additional Notes | Server acts as both the primary content repository and serves the JCR API |

D. Capacity Planning

Critical Business Needs – Child Welfare Safety Methodology Practice Model Refinements

1. The estimate for the Child Welfare Safety Methodology Practice Model Refinements is based on requirements provided by the Office of Child Welfare. Each of these requirements has had a high level impact assessment performed by the FSFN team. This high level impact assessment was used to identify work items needed to implement each requirement. Each of these work items was used in an industry standard estimating tool to derive an estimated number of hours to deliver the requested changes.

There is no additional software or hardware cost associated with these changes. The current specification of server, storage, and network should be sufficient to accommodate any growth in the system resulting from these changes.

2. It is assumed that the FSFN Project team (contracted vendor) will acquire additional staff to accomplish the changes related to this initiative. The FSFN Project team has sufficient knowledge and skill to deliver the requested changes to the FSFN system.
3. This initiative is to improve the functionality of the FSFN system. The changes included will further improve and clarify the data that is collected for both Children and Adults.
4. The services to support this initiative are functional and technical skills related to the FSFN system. The current FSFN team has both the functional and technical skills to make the requested changes associated with this initiative.
5. There is only one option that can achieve the business objective identified in Section II.A., and that option is to modify the existing FSFN system. The current requirements for this initiative do not warrant system replacement or other alternatives.

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6. This effort should be a modification to the existing functionality of the FSFN system. The current FSFN system has been heavily customized to meet the needs of DCF and their partner agencies. As a result, consideration of another product or system used in another state will not address the current needs of this initiative.

Critical Business Needs - Data Reporting Changes

1. The estimate for the Data Reporting Changes is based on requirements provided by the Office of Child Welfare. Each of these requirements has had a high level impact assessment performed by the FSFN team. This high level impact assessment was used to identify work items needed to implement each requirement. Each of these work items was used in an industry standard estimating tool to derive an estimated number of hours to deliver the requested changes.

There is no additional software or hardware cost associated with these changes. The current specification of server, storage, and network should be sufficient to accommodate any growth in the system resulting from these changes.

2. It is assumed that the FSFN Project team (contracted vendor) will acquire additional staff to accomplish the changes related to this initiative. The FSFN Project team has sufficient knowledge and skill to deliver the requested changes to the FSFN system.
3. This initiative is to improve the reporting needs for the Department and the Department's partner organizations. First, there is an effort to increase the level of access for specific partner organizations to reports and data in the FSFN system. Second, there are several critical need reports that will improve operations of FSFN users. Lastly, there is an expansion of the data elements that can be reported on.
4. The services to support this initiative are functional and technical skills related to the FSFN system. The current FSFN team has both the functional and technical skills to make the requested changes associated with this initiative.
5. There is only one option that can achieve the business objective identified in Section II.A., and that option is to modify the existing FSFN system. The current requirements for this initiative do not warrant system replacement or other alternatives.
6. This effort should be a modification to the existing functionality or expansion of existing functionality of the FSFN system. The current FSFN system has been heavily customized to meet the needs of DCF and their partner agencies. As a result, consideration of another product or system used in another state will not address the current needs of this initiative.

Architectural Improvements - Forms and Document Management

1. The estimate for the Forms and Document Management is based on requirements provided by the Office of Child Welfare. Each of these requirements has had a high level impact assessment performed by the FSFN team. This high level impact assessment was used to identify work items needed to implement each requirement. Each of these work items was used in an industry standard estimating tool to derive an estimated number of hours to deliver the requested changes.

To implement Forms and Document Management, there is a need for additional software and hardware. This will be a new component of the system and will require servers that will support multiple code streams for Development, Testing, User Acceptance, and Production. It is currently recommended that Adobe Experience Manager and Adobe CRX are the software that provide the Forms and Document Features desired. There are licensing costs for the Production Environment.

2. It is assumed that the FSFN Project team (contracted vendor) will acquire additional staff to accomplish the changes related to this initiative. The FSFN Project team has sufficient knowledge and skill to deliver the requested changes to the FSFN system and to implement the forms and document management software.
3. This initiative is to provide new functions to the FSFN system that will greatly aid the Department's partner organizations. First, there is the Forms solution. Forms will reduce the overall effort for creating and maintaining documents generated from the FSFN system. Also, the capability of creating and deploying forms can be placed in the hands of the partner organizations and not require direct involvement from the FSFN team. Lastly, documents can be created that are customized to meet the needs of specific regions in Florida.

The second part of this initiative is to implement a document management solution. The current solution only stores documents and lacks the features of an industry standard document management solution. By implementing this solution, documents will be better organized and searchable. Documents will also be indexed using Meta Data and Document Text where applicable. All of this will expedite the identification of needed documents in cases, and reduce the overall time by partner organizations searching for needed information.

4. The services to support this initiative are functional and technical skills related to the FSFN system. The current FSFN team has both the functional and technical skills to make the requested changes associated with this initiative.
5. In consideration of this initiative, several options were evaluated. First, there is an option to rewrite the current functions to supported levels. This option

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does not and cannot provide the same functionality as an industrialized product such as Adobe Experience Manager and CRX.

Also considered was open source solutions. In considering open source solutions, there was a concern about scalability for an enterprise application. Also, the open source solutions did not have all of the features provided by Adobe Experience Manager and CRX.

6. Forms and the taxonomy of the document management solution are very specific to the implementation of the FSFN system. There are no alternatives from other states or off the shelf projects that would provide the same functionality.

VII. Schedule IV-B Project Management Planning

This section describes the project management discipline used to manage the multiple project components, collectively referred to as a project, which will enhance the current FSFN system. It is based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) framework. All project customers, stakeholders and participants should be familiar with the outlines of this framework.

Project Charter

The project charter establishes a foundation for the project by ensuring that all participants share a clear understanding of the project purpose, objectives, scope, approach, deliverables and timeline. It serves as a reference of authority for the future of the project. It includes the following:

Project Name

Strengthening Child Safety Practice through Technology

Purpose

The project outlined is designed to strengthen the capabilities necessary to support the child welfare technology for the FSFN user community.

Scope

Included in the scope of this project are the following initiatives:

- Child Welfare Safety Methodology Practice Model Refinements
- Data Reporting Changes
- Forms and Document Management

Approach

The FSFN project will be achieved through a phased, multi-project approach, which will serve to enhance the capacity of the system for current and future needs. The project implementation approach includes:

- An implementation plan in two work streams.
- Each work stream will have multiple inter-related design, development and implementation phases.
- Some project phases will be able to be carried out concurrently and others are strategically timed to serve as incremental steps to facilitate a related project

Critical Business Needs

There are two main objectives of this work stream. First is to improve the access, sharing, use and retrieval of data which is captured, utilized and stored by or within FSFN among caseworkers, CPI's and CBC's. By improving the access to information. Second is to modify the FSFN system in order to improve the stakeholder

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experience either by improving tools to perform case management functions or by bringing the FSFN system into federal compliance through improvement of security standards. Projects include:

- Child Welfare Safety Methodology Practice Model Refinements
- Data Reporting Changes

Architectural Improvements

The objective of this work stream is to modify the FSFN architecture so that it can better support the needs of CBC's, CPI's and caseworkers to ensure vulnerable children are safe. The included project component is:

- Forms and Document Management

Deliverables

Figure 11 identifies the initial project deliverables:

| Name | Description |
|--------------------------------|---|
| Project Charter | A document authored by the Project Manager and issued by the Project Sponsor authorizing the Project Manager to apply resources to project activities. |
| Project Management Plan | Includes but is not limited to one or more of the following documents: <ul style="list-style-type: none"> • Scope Management Plan • Requirements Management Plan • Scope Baseline • Project Organization and Governance Structure • Work Breakdown Structure • Schedule Management Plan • Schedule Baseline, Resource Loaded • Cost Management Plan • Cost Baseline (from determined budget) • Project Spending Plan • Quality Management Plan • Human Resource Plan • Communication Management Plan • Risk Management Plan • Procurement Management Plan • Process Improvement Plan • Change Management Plan • Deliverable Acceptance Plan • Issue Management Plan • System Security Plan • Requirement Traceability Matrix • Organizational Change Management Plan • Configuration Management Plan |
| Risk, Issue & Action Registers | Prioritized list of identified risks and actual issues during the project. |

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| Name | Description |
|------------------------------------|--|
| Status Reports and Meeting Actions | Record of project status delivered and decisions/actions taken. |
| Work Stream Deliverables | Includes Work Stream Management (e.g. Charters and Work Stream Plans) and Work Stream Specific (e.g. requirements, designs, build milestone accomplishment, test results, documentation) deliverables. |

Figure 11: Deliverables

Milestones

The following chart illustrates initial project milestones:

| Milestone | Deliverables to Complete |
|-----------------------|---|
| Project Initiation | Charter, Project Management Plan |
| Project Execution | Updates to Charter, PM Plan, Risk/ Issue/Action Registers, Status Reports and Meeting Actions |
| Work Stream Execution | Project Management (e.g. Charters and Project Management Plans) and Project Specific (e.g. requirements, designs, build milestone accomplishment, test results, documentation) deliverables |
| Project Closeout | Lessons Learned, Project Closeout, Post-Implementation Review Report |

Figure 12: Project Milestones

Stakeholders

Figure 13 describes the project stakeholders:

| Stakeholders | Function Performed |
|--|--|
| Children | Receipt of abuse/neglect allegations |
| Vulnerable Adults | Receipt of abuse, neglect, exploitation and self-neglect allegations |
| Residents of Florida/Parents/Guardians | Informational referrals to DCF local offices and other services |
| Child Protective Investigators and Caseworkers | Gather and report information for investigation, with allegation narrative, subjects involved, and criminal background information Subsequent criminal background checks for additional subjects in an investigation Criminal background checks for child placements |
| Community-Based Care Providers | Gather and report information related to criminal background checks for child placements Report on direct care services provided to children and families |

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| Stakeholders | Function Performed |
|---|--|
| County Law Enforcement (where contracted for protective investigations) | <p>Gather and report information for investigation, with allegation narrative, subjects involved, and criminal background information</p> <p>Subsequent criminal background checks for additional subjects in an investigation</p> <p>Criminal background checks for child placements</p> |
| Florida Department of Health (DOH) | <p>Provides medical evaluations, specialized interviews, forensic interviews and psychological and parenting evaluations for alleged victims of abuse and neglect and their parents/legal caregivers.</p> <p>Provides children’s immunization information via Florida SHOTS (State Health Online Tracking System), a free, statewide, centralized online immunization registry that helps health-care providers and schools keep track of immunization records.</p> <p>DOH also provides birth, death, fetal death, marriage, and dissolution of marriage (divorce) records.</p> |
| Florida Department of Law Enforcement (FDLE) | <p>Provides data and assistance with statewide background checks on alleged victims, parents or legal custodians and other alleged perpetrators.</p> <p>Conducts companion criminal investigations in conjunction with DCF or Sheriff’s CPIs on cases which are within FDLE’s jurisdiction to investigate</p> |
| Florida Legislature | <p>The Florida Senate and House of Representatives are responsible for the appropriation of funds for the State of Florida. The reports generated from FSFN data provide crucial information needed to support child protection programs and funding requests to the legislature. Analysis of the FSFN data is necessary to evaluate the impact of proposed statutory changes.</p> |
| Governor’s Office of Policy and Budget (OPB) | <p>The Office of Policy and Budget (OPB) provides coordinated planning, policy development, budgeting and evaluation in support of the Governor, State agencies and State Legislature pursuant to authority under the Florida Statutes. The Information Technology Unit within OPB coordinates and develops recommendations and advises the Governor on information technology through establishing and directing the IT investment management process that supports the preparation, execution and amendment of the state budget.</p> |

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| Stakeholders | Function Performed |
|--|--|
| Agency for Children and Families (ACF) – Part of the Federal Department of Health and Human Services (HHS) | Administers Federal and State reporting systems that provide data to monitor and improve child welfare outcomes. The ACF receives several reports and data extracts from the FSFN system. |

Figure 13: Project Stakeholders

Project Schedule

Figure 14 provides a graphic representation of the overall project concept.

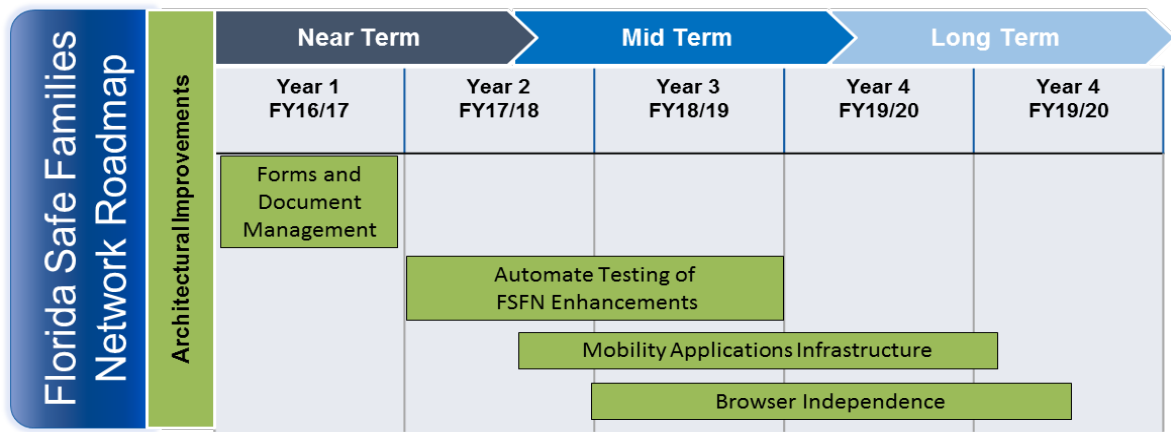


Figure 14: Florida Safe Families Network Roadmap

Appendix D provides a high level schedule of project activities. The development of the actual project schedule will be the responsibility of the DCF project manager and implementation vendor(s).

Project Budget

The cost information used as the basis for the preliminary project budget (see Figure 8) was developed through multiple analyses and work sessions and from publicly available pricing information. These numbers represent an estimate to be used for budgetary planning purposes only as actual costs will vary. The cost may change based on deliverable payment schedule negotiated during the procurement process for certain products.

Project Organization

This section includes an explanation of the project’s governance structure, which includes the executive steering committee, project sponsor, and project implementation teams. Members of the Executive Steering Committee will include DCF Management, who demonstrate commitment to the success of the project by their willingness to provide both oversight and advocacy for the modernization effort. One of their most important roles will be to keep the project’s charter firmly in view and assist the Project Sponsor and Project Director in resisting forces that

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will seek to alter the project's objectives. The committee will also support them in guarding against scope growth and assist in responding to external changes that impact the project.

Monthly steering committee meetings with the Project Leadership Team will allow the committee to evaluate the project's adherence to the planned schedule, scope and use of resources. Finally, the Executive Steering Committee will act as advocates for the project whenever possible and especially when needed to bolster the confidence and resolve of other key stakeholders.

The Project Leadership Team will be headed by the Project Director. This team will be responsible for day-to-day oversight of the project. In addition, the Project Leadership Team will work closely with the Legal, HR, Financial Management and Communications departments to ensure that sufficient external project oversight is established and maintained.

The project stakeholders encompass a variety of Child Welfare Community organizations, including, but not limited to, DCF staff from the project's core business areas, CBC management and Sheriff's Offices. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all project deliverables.

Figure 15 shows the project organization structure and the relationship between its components:

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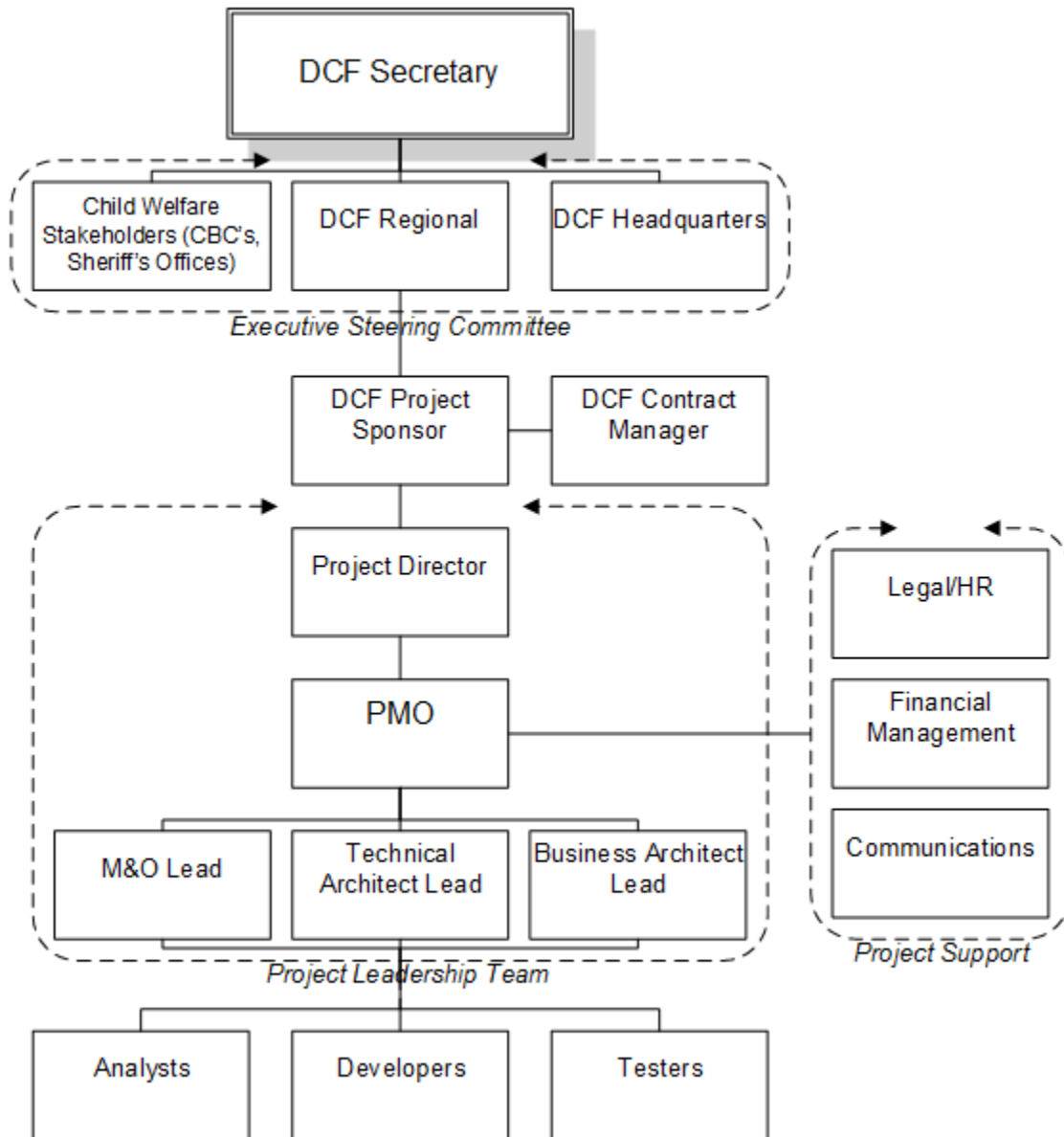


Figure 15: Project Organization

Figure 16 identifies the project/work stream team roles within the project organization and a summary of their responsibilities:

| Role | Responsibility |
|--|--|
| Executive Governance Steering Committee | <ul style="list-style-type: none"> • Sets overall strategic scope and direction • Reviews project risks, issues and exceptions • Provides general project oversight |
| Project Sponsor | <ul style="list-style-type: none"> • Sets tactical scope and direction • Provides specific project and work stream oversight • Influences interaction with stakeholders |

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| Role | Responsibility |
|--|---|
| | <ul style="list-style-type: none"> • Accepts major project and work stream deliverables • Final arbiter of project issues |
| Project Director | <ul style="list-style-type: none"> • Documents project charter (objective/scope/etc.) • Develops project management plans • Consolidates work stream plans into project plan • Reports project status • Maintains project financials • Manages integrated project change control • Manages project risks, issues and actions • Facilitates team communication |
| Business, Technical & Vendor Management | <ul style="list-style-type: none"> • Oversees business, technical and vendor teams • Ensures resources are available for projects • Resolves business or technical issues • Communicates with project manager |
| Team Members | <ul style="list-style-type: none"> • Performs business or technical activities as documented in the project plan • Reports business or technical activity completion status |
| Stakeholders | <ul style="list-style-type: none"> • Acts as a business or technical advocate • Speaks to the strategic business interests • Provides a perspective of current and future business or technical requirements • Communicates project information to their constituent communities • Performs user acceptance testing |

Figure 16: Project Roles and Responsibilities

Project Quality Control

The current vendor has a Quality Management Plan (QMP) in place that provides staff and management with objective insight into project processes and work products. The QMP addresses process and product quality management activities and schedule. The PMO maintains the QMP. The Project Manager and team leads verify that the organization and projects follow the necessary processes and procedures.

Project quality management ensures the project activities and deliverables meet customer requirements. Three processes are associated with project quality management:

- **Quality Planning** – Identifies the quality standards which are relevant to the work stream deliverables and how they will be achieved. The work stream charter, work stream management plans (resource, schedule, budget, change control, etc.), development standards, testing management plans, contract management etc. are key inputs. The Quality Plan will be developed during the initiation of the work streams.

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- Quality Assurance – Execution of quality activities during work stream execution to ensure variances in processes are clearly identified and assessed. Examples of these activities are process analysis, reviews and audits performed by the PMO.
- Quality Control – Monitoring work stream activities and deliverables to determine if they comply with the project’s quality standards. Monitoring during the work stream may take the form of self-reviews, peer reviews, structured testing or status meetings.

External Project Oversight

Strengthening the capabilities of the FSFN application architecture requires various interdependent projects which fall into the four work streams of Decision Making and Critical Business Needs and Architectural Improvements. It is imperative that each of these work streams be managed by a strong project manager and the entire project be led by a certified project manager with significant experience. The implementations among work streams are distinct, yet inter-related, and it is advisable that a PMO be established to coordinate work efforts. It is our recommendation that an outside vendor be procured who can maintain objectivity within the PMO and monitor all project management activities.

Risk Management

Risk Management is an iterative process established when the project begins and is performed continuously until the project ends. It is applied equally to all phases of the project’s life cycle. The process includes project management activities to identify, quantify, respond to and control project risks. This process minimizes problems and surprises by anticipating rather than reacting to events. Assessments are made by the Project Manager and team of the probability of an event occurring and what the impact of that event will be on the project’s success. Mitigation activities will be developed for certain risks that meet determined criteria and contingency plans will be implemented if a risk does occur. Risk factors/types that will be considered during the project lifecycle include but are not limited to:

- Contractual risk
- Technology risk
- Size and complexity risk
- Personnel acquisition and retention risk
- Risks to achieving customer acceptance of the end product

The following subsections describe the risk management process phases in more detail.

Risk Identification

Any project team member may identify potential project risks resulting from normal activity on the project. Risk identification defines future events that could have an undesirable impact on project cost, schedule, business, or technical performance. Upon identification, a statement is developed that establishes a concise definition of

the risk. The description articulates a clear cause and effect relationship that supports effective risk mitigation actions. The definition of the risk should be well defined and bounded. Failure to do so can complicate the analysis activity and may result in the implementation of incorrect preventative action.

Ordinarily when a member of a task identifies a potential risk, this risk is entered directly into the Risk database. In some cases the potential risk is provided to a designated individual(s) for review and concurrence prior to entry into the Risk database. The Risk Coordinator is notified. Potential risks are presented to and evaluated by a Risk Management Working Group established for the project. When a potential risk originates from a task, the Risk Originator should be prepared to present the risk.

Once the risk is nominated, it shall be assigned a unique designation and logged into the risk tracking tool. Analysis is required to verify the risk is specific and fully defined before it becomes a formal risk with a managed risk mitigation strategy. Risks are reviewed either weekly or biweekly.

Risk Analysis

Risk analysis is the process of estimating the probability of occurrence and the magnitude of impact for each risk event. After the risk has been identified risk analysis is conducted. The Risk Originator or the Risk Coordinator conducts the initial analyses. The risk is reviewed in relation to probability of occurrence, impact assessment, and timing. The information resulting from the risk analysis is captured and maintained in the Risk database. The result of the risk analysis is a characterization of the magnitude of the risk.

The probability of occurrence estimates the likelihood that the risk will become a reality. The probability rating is used in establishing priorities and is based on experience and insights, and often reflects an expert's (or a team's) best judgment coupled with a high, medium, or low evaluation. The scale for probability of occurrence of the risk is characterized as follows:

| | |
|---------------|--|
| HIGH | Better than 70 percent chance for occurrence of the risk |
| MEDIUM | Between 30 and 70 percent chance of occurrence |
| LOW | Less than 30 percent chance of occurrence. |

Impact Assessment is defined as the magnitude of any resulting deviation from the desired outcome. Impacts may be assessed quantitatively but are generally stated in qualitative terms. For example, the real dollar cost of an outcome might be estimated as part of the assessment; but the impact is stated as severe, high, medium, or low based on a standard scale.

Timing identifies when, if the risk occurs, it will affect the project. Timing is characterized as short (30 days), medium (30 – 60 days), and long (beyond the next 60 days).

There are several tools and sources of data to understand how probability and impact affect the project's cost, schedule or objectives, such as PERT, GANTT,

simulations, historical data and expert judgment (internal or external). The project shall use the baseline project schedule as the primary tool to assist in understanding impact to schedule and resources. Cost impact is derived from analyzing impact to resources and associated expenditures for hardware, software, telecom and personnel. Risk analysis also helps determine the prioritization of all risks and what resources to apply to respond to each risk.

Mitigation Planning

The project team shall define response strategies to be performed to minimize the probability or impact of identified risks to the project. These strategies will occur throughout the life cycle and will encompass the full range of project management initiatives including:

- Resource allocation and management
- Hardware/Software design or configuration
- Schedule management
- Elevation of risks within executive chain-of-command
- Early and ongoing communications throughout the project team

Mitigation strategies are noted and tracked within the risk tracking tool and the Executive/Project Status Report.

Risk Documentation and Tracking

All open risks associated with the project are discussed, and details associated with those risks are updated at a bi-weekly meeting of the Risk Management Working Group. In addition, specific information such as Risk Name, Owner, Business Owner, History, Contingencies, Mitigations and Closure data are maintained in the risk tracking tool. A summary of all risks is provided in the bi-weekly Executive/Project Status Report. The risk tracking tool is designed as a centralized repository to record, manage, and track project information, including risks, at an individual project level. The higher the level of impact and probability of the risk, the more detailed the information. The project Risk Coordinator is responsible for entering a project's risks and amplifying information.

Responsibility for risk control must be defined clearly in order to effectively implement a risk response. The Risk Management Working Group will utilize an action item list or responsibility assignment matrix to accomplish this activity. The Project Manager and Risk Owner will maintain regular communication channels with all parties to assess, evaluate, and monitor risks. Consensus among the team members or direction from the Project Manager and/or Risk Coordinator is required before risk information is officially changed. The Risk Management Working Group is the established project management organization for risk control activities.

Risk Closure

A risk may be closed by the Risk Management Working Group if it is determined all action items associated with the risk have been complete, or the risk will no longer

impact the project. The risk may also be closed if the Risk Management Working Group determines that the risk should be elevated to the status of an issue. In this circumstance, the Risk Management Working Group has concluded that the proposed mitigation strategy associated with the risk cannot control the impact or probability of occurrence and other resources are required. All closed risks will indicate the date the risk was closed, who initiated the action and any comments appropriate to the clarification of the action. This data is maintained in the risk tracking tool and reviewed regularly.

Project Communication

Project communication is the exchange of project-specific information with the emphasis on creating understanding between the sender and the receiver. Effective communication is one of the most important factors contributing to the success of a project.

Three clear communication channels will be established across all the projects. They include:

- Upward channel with senior executives and steering committee to highlight issues, risks and scope exceptions
- Lateral channel with sponsor(s), stakeholders, and other agency management involving requirements, resources, budgets and time allocations
- Downward channel with the project team highlighting processes, activities, dates, status and general team briefings

A communication plan describes how project communication events will occur across the channels described above. The events themselves may be periodic or one-time in nature. The table in Appendix E shows the project communication plan:

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VIII. Appendices

Appendix A: Functional and Technical Requirements

| FUNCTIONAL AND TECHNICAL REQUIREMENTS | |
|---|-------------------------|
| Requirement | Functional or Technical |
| Critical Business Needs - Child Welfare Safety Methodology Practice Model Refinements | |
| Modify Patently Unfounded closure edits to function the same as a 'no jurisdiction' or 'unable to locate' report. | Functional |
| Exclude deceased children from any requirements for subsequent required Safety Planning determinations | Functional |
| Update the screening criteria for Maltreatment for all of the 21 maltreatments in FSFN and the Florida Hotline Portal. | Functional |
| Correct the response options for 'Judicial Status' in FSFN | Functional |
| Add critical safety decision making information to the "Child Investigations and Special Conditions Referral Workload" | Functional |
| Limit response options for 'Child Safety Determination and Summary' determinations to 'Safe' and 'Unsafe' | Functional |
| Include 'Danger Threats' on the "Family Functioning Assessment – Ongoing" and associated templates | Functional |
| Include 'Danger Threats' on the "Progress Update" and associated templates | Functional |
| Update the "Judicial Review Worksheet" with the most recent case information | Functional |
| Show the case 'Primary Worker' on the Case Plan template | Functional |
| Modify the questions on the "Judicial Review Worksheet" to comply with Section 39.604(3), Florida Statutes | Functional |
| Change the response choices on the "Judicial Review Worksheet" for 'Overall Outcome Progress' to comply with Section 39.701(2)(a)(5), Florida Statutes | Functional |
| Update the Judicial Review template with the most recent "Progress Update." | Functional |
| Update "Case Plan Worksheet" with the most recent information from the "Family Functioning Assessment – Ongoing" and "Progress Update" | Functional |
| Add 'Conditions for Return' to the "Progress Update" | Functional |
| Update Safety Planning to include Family-made arrangements | Functional |
| Add a Behavior Management plan for the safety of children in out-of-home placements | Functional |
| Eliminate requirements to enter 'Final Roles,' a 'Finding,' or an 'FFA' when closing Patently Unfounded cases. | Technical |
| Exclude deceased children from appearing in the 'Child Safety Determination and Summary' box so subsequent Safety Planning is no longer required for these children. | Technical |
| Update the Florida Hotline Portal to include screening criteria that matches the assessment criteria in the new Maltreatment Index for all 21 maltreatments. Additionally, the Malnutrition maltreatment will be deleted and the definition merged with Malnutrition/Dehydration and Family Violence Threatens Child will need to have sub categories created (Household Violence and Intimate Partner Violence). | Technical |

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| FUNCTIONAL AND TECHNICAL REQUIREMENTS | |
|--|-------------------------|
| Requirement | Functional or Technical |
| Eliminate the option of 'Voluntary' as a 'Legal Status' in FSFN. | Technical |
| Add present danger threat information, Safety Planning information, and Second Tier Consultation information on critical cases to the "Child Investigations and Special Conditions Referral Workload" page in FSFN. | Technical |
| Eliminate 'Safe - Impending danger threats are being effectively controlled and managed by a parent/legal guardian in the home' as a response option on the 'Family Functioning Assessment' section of the 'Child Safety Determination and Summary.' | Technical |
| Include 'Danger Threats' on the to the print version of the "Family Functioning Assessment - Ongoing" and associated templates | Technical |
| Include 'Danger Threats' on the to the print version of the "Progress Update" and associated templates | Technical |
| Pre-fill the "Case Plan Worksheet" with the primary worker assigned as case manager, not the most recently assigned. | Technical |
| Pull information from the most recent "Case Plan Worksheet" to update the "Judicial Review Worksheet." | Technical |
| On the "Judicial Review Worksheet" change "the child is at least the age of 3 but under the age of 6..." to "A child from birth to the age of school entry, under court-ordered protective supervision or in the custody of the Family Safety Program Office of the Department of Children and Families or a community-based lead agency, and enrolled in a licensed early education or child care program." | Technical |
| Change the response choices on the "Judicial Review Worksheet" for 'Overall Outcome Progress' to 'Substantially Complied,' 'Did Not Substantially Comply,' or 'Partially Complied.' | Technical |
| Populate the Judicial Review template from the most recent "Progress Update." | Technical |
| Populate the "Case Plan Worksheet" from the most recent "Progress Update." | Technical |
| Add the five Safety Analysis questions to the "Progress Update" in FSFN. | Technical |
| Require Safety Planning for family-made arrangements and add a flag for child sexual abuse victims, children who are sexually reactive or whose behavior otherwise poses a risk to others. | Technical |
| Add a Behavior Management plan to manage the safety of children in out-of-home placements | Technical |
| Critical Business Needs - Data Reporting Changes | |
| Add "Progress Update" data to the FSFN Reporting Environment | Functional |
| Provide Community Based Care Agencies and CMO's Access to Assessment and Planning in FSFN Reporting Environment | Functional |
| Develop Real Time CBC Report | Functional |
| Add Information in the "Progress Update" to a Universe in the FSFN Reporting Environment that the CBC's have access to (not the Child Investigations Universe) | Technical |
| Make the information on FFA's (investigation and ongoing), PDA's, safety plans (PD and ID) and Risk Assessments available in a universe that all persons/agencies with an assignment to the child/case can access. | Technical |

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| FUNCTIONAL AND TECHNICAL REQUIREMENTS | |
|--|-------------------------|
| Requirement | Functional or Technical |
| <p>Create a real-time report containing the following data points:</p> <ul style="list-style-type: none"> • District • Agency • County • Unit of Worker • Primary Worker • Case ID • Case Name • Case Type • Child (Person) ID • Child Name • Current Location Type • Date of Most Recent Home Visit Current Residence, Completed Face to Face • Date of Most Recent Face to Face Completed • Date of most recent safety plan (blank if none; Pending if started; Date of Completion if Approved) • Date FFA Ongoing Completed (blank if none; Pending if started; Date of Completion if Approved) • Case Plan Expiration Date (blank if no pending Case Plans exist) • Date of most recent "Progress Update" (blank if none; Pending if started; Date of Completion if Approved) • Date of most recent Judicial Review (blank if none; Pending if started; Date of Completion if Approved) • Date Next JR is due (from the Legal Record; blank if none found) • Are psychotropic medications expired (blank if the child is not on psychotropic medications) • Last medical date • Last dental date | Technical |
| Architectural Improvements – Forms and Document Management | |
| Create a searchable document management system in FSFN | Functional |
| Enable workers to create and access critical case documents in the field | Functional |
| Conduct a business analysis of required configuring and define work flows | Technical |
| Gather requirements and identify documents to be included | Technical |
| Create documents and integrate them and the management system into FSFN | Technical |

Appendix B: Cost Benefit Analysis Worksheets

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|------------------------------|---|--|
| Agency | <u>Children and Families</u> | Project | |
| | | <u>Strengthening Child Safety Practice Through Technology</u> | |

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|------------------------|-------------------------|---|------------------------|-------------------------|---|------------------------|-------------------------|---|------------------------|-------------------------|---|------------------------|-------------------------|---|
| Agency (Operations Only -- No Project Costs) | FY 2016-17 | | | FY 2017-18 | | | FY 2018-19 | | | FY 2019-20 | | | FY 2020-21 | | |
| | (a) | (b) | (c) = (a)+(b) | (a) | (b) | (c) = (a) + (b) | (a) | (b) | (c) = (a) + (b) | (a) | (b) | (c) = (a) + (b) | (a) | (b) | (c) = (a) + (b) |
| | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project |
| A. Personnel -- Total FTE Costs (Salaries & Benefits) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A.b Total FTE | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-1.b. State FTEs (# FTEs) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-2.a. OPS FTEs (Salaries) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-2.b. OPS FTEs (# FTEs) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-3.a. Staff Augmentation (Contract Cost) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-3.b. Staff Augmentation (# of Contract FTEs) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B. Data Processing -- Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-1. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-3. Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C. External Service Provider -- Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-1. Consultant Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Maintenance & Support Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Data Communications Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility -- Costs (including PDC services) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E. Others -- Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-3. Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Operational Costs (Rows A through E) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| F. Additional Tangible Benefits: | | \$3,534,118 | | | \$3,534,118 | | | \$3,534,118 | | | \$3,534,118 | | | \$3,534,118 | |
| F-1. Case Management Cost Avoidance | | \$2,803,664 | | | \$2,803,664 | | | \$2,803,664 | | | \$2,803,664 | | | \$2,803,664 | |
| F-2. Investigations Cost Avoidance | | \$730,454 | | | \$730,454 | | | \$730,454 | | | \$730,454 | | | \$730,454 | |
| F-3. Specify | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$3,534,118 | | | \$3,534,118 | | | \$3,534,118 | | | \$3,534,118 | | | \$3,534,118 | |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | | |
|--|-------------------------------------|------------------|---------|
| Choose Type | Estimate Confidence | Enter % (+/-) | |
| Detailed/Rigorous | <input type="checkbox"/> | Confidence Level | |
| Order of Magnitude | <input checked="" type="checkbox"/> | Confidence Level | +/- 15% |
| Placeholder | <input type="checkbox"/> | Confidence Level | |

| Cost Avoidance Calculation | | | | | | |
|--|-------------|--------------|-------|-------------|------------|---|
| | Hours | Per Case | Cases | Hourly Rate | Confidence | Benefit |
| FSFN Case Management Safety Methodology Refinement | 1 | 2 | 30873 | \$26.25 | 90% | \$1,458,749 Reduction in duplication of case work creating multiple FFAs, case plans, JSSR and progress updates. |
| | Supervisors | Weekly Hours | Weeks | Hourly Rate | Confidence | Benefit |
| FSFN Case Management Supervisor Report Enhancement | 418 | 2 | 52 | \$34.38 | 90% | \$1,344,915 Streamline the amount of time spent on data analysis by Case Manager Supervisors. |
| | Supervisors | Weekly Hours | Weeks | Hourly Rate | Confidence | Benefit |
| FSFN CPI Supervisor Report Enhancement | 229 | 2 | 52 | \$34.08 | 90% | \$730,454 Reduction in the amount of time a Child Protective Supervisor spends on data analysis to meet daily operational requirements. |
| Annual Total: | | | | | | \$3,534,118 |

| A | B | | C | D | E | F | | G | H | I | J | K | L | M | N | O | P | Q | R | S | T | | |
|----|--|--|------------------------|---|--------------|--------------|------------------|--------------|--------------|------------------|------------|------------|------------------|------------|------------|------------------|------------|------------|------------------|-------|---------------|--|--|
| 1 | Children and Families | Strengthening Child Safety Practice Through Technology | | CBA Form 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. | | | FY2016-17 | | | FY2017-18 | | | FY2018-19 | | | FY2019-20 | | | FY2020-21 | | | TOTAL | | | | |
| 3 | | | | \$ 9,622,330 | | | \$ 1,176,500 | | | \$ 453,000 | | | \$ 453,000 | | | \$ 453,000 | | | \$ 12,157,830 | | | | |
| 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 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | | |
| 6 | Costs for all OPS employees working on the project. | OPS | OPS | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | | |
| 7 | Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | | |
| 8 | Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | | |
| 9 | Project oversight (IV&V) personnel and related deliverables. | Project Oversight | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | | |
| 10 | Staffing costs for all professional services not included in other categories. | Consultants/Contractors | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | | |
| 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 | \$ - | \$ 1,100,000 | \$ - | \$ - | \$ 1,100,000 | \$ - | \$ - | \$ 300,000 | \$ - | \$ - | \$ 300,000 | \$ - | \$ - | \$ 300,000 | \$ - | \$ - | \$ - | \$ 3,100,000 | | |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | \$ 7,622,330 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 7,622,330 | | |
| 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 | \$ - | \$ 900,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 900,000 | | |
| 17 | Other contracted services not included in other categories. | Other Services | Contracted Services | \$ - | \$ - | \$ - | \$ - | \$ 76,500 | \$ - | \$ - | \$ 153,000 | \$ - | \$ - | \$ 153,000 | \$ - | \$ - | \$ 153,000 | \$ - | \$ - | \$ - | \$ 535,500 | | |
| 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 | | | \$ - | 0.00 | \$ 9,622,330 | \$ - | 0.00 | \$ 1,176,500 | \$ - | 0.00 | \$ 453,000 | \$ - | 0.00 | \$ 453,000 | \$ - | 0.00 | \$ 453,000 | \$ - | \$ - | \$ 12,157,830 | | |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|------------------------------|---------|---|
| Agency | <u>Children and Families</u> | Project | <u>Strengthening Child Safety Practice Through Technology</u> |
|--------|------------------------------|---------|---|

| PROJECT COST SUMMARY | PROJECT COST SUMMARY (from CBAForm 2A) | | | | | TOTAL |
|---|--|--------------|--------------|--------------|--------------|--------------|
| | FY 2016-17 | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | |
| TOTAL PROJECT COSTS (*) | \$9,622,330 | \$1,176,500 | \$453,000 | \$453,000 | \$453,000 | \$12,157,830 |
| CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small> | \$9,622,330 | \$10,798,830 | \$11,251,830 | \$11,704,830 | \$12,157,830 | |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet. | | | | | | |

| PROJECT FUNDING SOURCES | PROJECT FUNDING SOURCES - CBAForm 2B | | | | | TOTAL |
|--|--------------------------------------|--------------|--------------|--------------|--------------|--------------|
| | FY 2016-17 | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | |
| General Revenue | \$8,089,607 | \$1,766,193 | \$380,842 | \$380,842 | \$380,842 | \$10,998,326 |
| Trust Fund | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Federal Match <input type="checkbox"/> | \$1,532,723 | \$334,637 | \$72,158 | \$72,158 | \$72,158 | \$2,083,834 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$9,622,330 | \$2,100,830 | \$453,000 | \$453,000 | \$453,000 | \$13,082,160 |
| CUMULATIVE INVESTMENT | \$9,622,330 | \$11,723,160 | \$12,176,160 | \$12,629,160 | \$13,082,160 | |

| Characterization of Project Cost Estimate - CBAForm 2C | | |
|--|---------------------|---------------|
| Choose Type | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | Confidence Level | |
| Order of Magnitude | Confidence Level | +/- 15% |
| Placeholder | Confidence Level | |

CBAForm 3 - Project Investment Summary

| | | | |
|--------|------------------------------|---------|---|
| Agency | <u>Children and Families</u> | Project | <u>Strengthening Child Safety Practice Through Technology</u> |
|--------|------------------------------|---------|---|

| COST BENEFIT ANALYSIS -- CBAForm 3A | | | | | | |
|---|---------------|-------------|-------------|-------------|-------------|---------------------|
| | FY 2016-17 | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | TOTAL FOR ALL YEARS |
| Project Cost | \$9,622,330 | \$1,176,500 | \$453,000 | \$453,000 | \$453,000 | \$12,157,830 |
| Net Tangible Benefits | \$3,534,118 | \$3,534,118 | \$3,534,118 | \$3,534,118 | \$3,534,118 | \$17,670,590 |
| Return on Investment | (\$6,088,212) | \$2,357,618 | \$3,081,118 | \$3,081,118 | \$3,081,118 | \$5,512,760 |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|---|-------------|---|
| Payback Period (years) | 3 1/5 | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | 2019-20 | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | \$4,128,581 | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | 30.28% | IRR is the project's rate of return. |

| Investment Interest Earning Yield -- CBAForm 3C | | | | | |
|---|------------|------------|------------|------------|------------|
| Fiscal Year | FY 2016-17 | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 |
| Cost of Capital | 1.94% | 2.07% | 3.18% | 4.32% | 4.85% |

Appendix C: Risk Assessment Tool

Section 1: Strategic Assessment

Section 2: Technology Exposure Assessment

Section 3: Organizational Change Management Assessment

Section 4: Communication Assessment

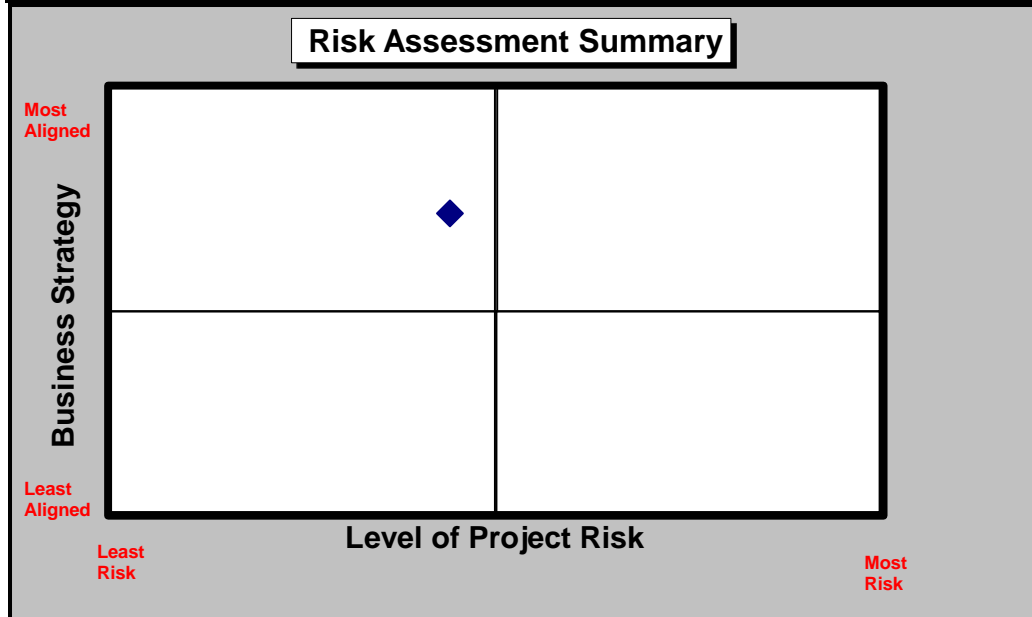
Section 5: Fiscal Assessment

Section 6: Project Organization Assessment

Section 7: Project Management Assessment

Section 8: Project Complexity Assessment

| | | |
|--|---|------------------|
| Project | <i>Strengthening Child Safety Practice Through Technology</i> | |
| Agency | <i>Department of Children and Families</i> | |
| FY 2016-17 LBR Issue Code: | FY 2016-17 LBR Issue Title: | |
| <i>Issue Code</i> | <i>Issue Title</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Marc Slager - 850-320-9299 - Marc_Slager@myflfamilies.com</i> | | |
| Executive Sponsor | <i>JoShonda Guerrier</i> | |
| Project Manager | <i>Alicia Dyer</i> | |
| Prepared By | <i>Marc Slager</i> | <i>7/30/2015</i> |



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

Section 1: Strategic Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 1 -- Strategic Area | | | |
|-----------------------------|---|--|--|
| # | Criteria | Values | Answer |
| 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 81% to 100% -- All or nearly all objectives aligned |
| | | 41% to 80% -- Some objectives aligned | |
| | | 81% to 100% -- All or nearly all objectives aligned | |
| 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Documented with sign-off by stakeholders |
| | | Informal agreement by stakeholders | |
| | | Documented with sign-off by stakeholders | |
| 1.03 | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |
| | | Most regularly attend executive steering committee meetings | |
| | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 1.04 | Has the agency documented its vision for how changes to the proposed technology will improve its business processes? | Vision is not documented | Vision is completely documented |
| | | Vision is partially documented | |
| | | Vision is completely documented | |
| 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 81% to 100% -- All or nearly all defined and documented |
| | | 41% to 80% -- Some defined and documented | |
| | | 81% to 100% -- All or nearly all defined and documented | |
| 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | No changes needed |
| | | Changes unknown | |
| | | Changes are identified in concept only | |
| | | Changes are identified and documented | |
| | | Legislation or proposed rule change is drafted | |
| 1.07 | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions? | Few or none | Few or none |
| | | Some | |
| | | All or nearly all | |
| 1.08 | What is the external (e.g. public) visibility of the proposed system or project? | Minimal or no external use or visibility | Extensive external use or visibility |
| | | Moderate external use or visibility | |
| | | Extensive external use or visibility | |
| 1.09 | What is the internal (e.g. state agency) visibility of the proposed system or project? | Multiple agency or state enterprise visibility | Multiple agency or state enterprise visibility |
| | | Single agency-wide use or visibility | |
| | | Use or visibility at division and/or bureau level only | |
| 1.10 | Is this a multi-year project? | Greater than 5 years | 1 year or less |
| | | Between 3 and 5 years | |
| | | Between 1 and 3 years | |
| | | 1 year or less | |

Section 2: Technology Exposure Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 2 -- Technology Area | | | |
|------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 2.01 | Does the agency have experience working with, operating, and supporting the proposed technology in a production environment? | Read about only or attended conference and/or vendor presentation | Installed and supported production system more than 3 years |
| | | Supported prototype or production system less than 6 months | |
| | | Supported production system 6 months to 12 months | |
| | | Supported production system 1 year to 3 years | |
| | | Installed and supported production system more than 3 years | |
| 2.02 | Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system? | External technical resources will be needed for implementation and operations | External technical resources will be needed for implementation and operations |
| | | External technical resources will be needed through implementation only | |
| | | Internal resources have sufficient knowledge for implementation and operations | |
| 2.03 | Have all relevant technology alternatives/ solution options been researched, documented and considered? | No technology alternatives researched | All or nearly all alternatives documented and considered |
| | | Some alternatives documented and considered | |
| | | All or nearly all alternatives documented and considered | |
| 2.04 | Does the proposed technology comply with all relevant agency, statewide, or industry technology standards? | No relevant standards have been identified or incorporated into proposed technology | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| | | Some relevant standards have been incorporated into the proposed technology | |
| | | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards | |
| 2.05 | Does the proposed technology require significant change to the agency's existing technology infrastructure? | Minor or no infrastructure change required | Moderate infrastructure change required |
| | | Moderate infrastructure change required | |
| | | Extensive infrastructure change required | |
| | | Complete infrastructure replacement | |
| 2.06 | Are detailed hardware and software capacity requirements defined and documented? | Capacity requirements are not understood or defined | Capacity requirements are based on historical data and new system design specifications and performance requirements |
| | | Capacity requirements are defined only at a conceptual level | |
| | | Capacity requirements are based on historical data and new system design specifications and performance requirements | |

Section 3: Organizational Change Management Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 3 -- Organizational Change Management Area | | | |
|--|--|--|--|
| # | Criteria | Values | Answer |
| 3.01 | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes | Minimal changes to organization structure, staff or business processes structure |
| | | Moderate changes to organization structure, staff or business processes | |
| | | Minimal changes to organization structure, staff or business processes structure | |
| 3.02 | Will this project impact essential business processes? | Yes | Yes |
| | | No | |
| 3.03 | Have all business process changes and process interactions been defined and documented? | 0% to 40% -- Few or no process changes defined and documented | 81% to 100% -- All or nearly all processes defined and documented |
| | | 41% to 80% -- Some process changes defined and documented | |
| | | 81% to 100% -- All or nearly all processes defined and documented | |
| 3.04 | Has an Organizational Change Management Plan been approved for this project? | Yes | No |
| | | No | |
| 3.05 | Will the agency's anticipated FTE count change as a result of implementing the project? | Over 10% FTE count change | Less than 1% FTE count change |
| | | 1% to 10% FTE count change | |
| | | Less than 1% FTE count change | |
| 3.06 | Will the number of contractors change as a result of implementing the project? | Over 10% contractor count change | 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) | Moderate changes |
| | | Moderate changes | |
| | | Minor or no changes | |
| 3.08 | What is the expected change impact on other state or local government agencies as a result of implementing the project? | Extensive change or new way of providing/receiving services or information | Moderate changes |
| | | Moderate changes | |
| | | Minor or no changes | |
| 3.09 | Has the agency successfully completed a project with similar organizational change requirements? | No experience/Not recently (>5 Years) | Recently completed project with similar change requirements |
| | | Recently completed project with fewer change requirements | |
| | | Recently completed project with similar change requirements | |
| | | Recently completed project with greater change requirements | |

Section 4: Communication Assessment

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 | Proactive use of feedback in Plan |
| | | Routine feedback in Plan | |
| | | Proactive use of feedback in Plan | |
| 4.03 | Have all required communication channels been identified and documented in the Communication Plan? | Yes | Yes |
| | | No | |
| 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | Yes |
| | | No | |
| 4.05 | Have all key messages been developed and documented in the Communication Plan? | Plan does not include key messages | All or nearly all messages are documented |
| | | Some key messages have been developed | |
| | | All or nearly all messages are documented | |
| 4.06 | Have desired message outcomes and success measures been identified in the Communication Plan? | Plan does not include desired messages outcomes and success measures | 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 | Yes |
| | | No | |

Section 5: Fiscal Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 5 -- Fiscal Area | | | |
|--------------------------|---|---|---|
| # | Criteria | Values | Answer |
| 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes | No |
| | | No | |
| 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented | 81% to 100% -- All or nearly all defined and documented |
| | | 41% to 80% -- Some defined and documented | |
| | | 81% to 100% -- All or nearly all defined and documented | |
| 5.03 | What is the estimated total cost of this project over its entire lifecycle? | Unknown | Between \$2 M and \$10 M |
| | | Greater than \$10 M | |
| | | Between \$2 M and \$10 M | |
| | | Between \$500K and \$1,999,999 | |
| | | Less than \$500 K | |
| 5.04 | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model? | Yes | Yes |
| | | No | |
| 5.05 | What is the character of the cost estimates for this project? | Detailed and rigorous (accurate within ±10%) | Order of magnitude – estimate could vary between 10-100% |
| | | Order of magnitude – estimate could vary between 10-100% | |
| | | Placeholder – actual cost may exceed estimate by more than 100% | |
| 5.06 | Are funds available within existing agency resources to complete this project? | Yes | No |
| | | No | |
| 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency | Funding from single agency |
| | | Funding from local government agencies | |
| | | Funding from other state agencies | |
| 5.08 | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received? | Neither requested nor received | Not applicable |
| | | Requested but not received | |
| | | Requested and received | |
| | | Not applicable | |
| 5.09 | Have all tangible and intangible benefits been identified and validated as reliable and achievable? | Project benefits have not been identified or validated | Most project benefits have been identified but not validated |
| | | Some project benefits have been identified but not validated | |
| | | Most project benefits have been identified but not validated | |
| | | All or nearly all project benefits have been identified and validated | |
| 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year | Within 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 reviewed and approved the proposed procurement strategy |
| | | Stakeholders have not been consulted re: procurement strategy | |
| | | Stakeholders have reviewed and approved the proposed procurement strategy | |
| 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) | Firm Fixed Price (FFP) |
| | | Firm Fixed Price (FFP) | |
| | | Combination FFP and T&E | |

Section 5: Fiscal Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 5 -- Fiscal Area | | | |
|--------------------------|--|---|---|
| # | Criteria | Values | Answer |
| 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Timing of major hardware and software purchases has not yet been determined |
| | | Purchase all hardware and software at start of project to take advantage of one-time discounts | |
| | | Just-in-time purchasing of hardware and software is documented in the project schedule | |
| 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned | Contract manager assigned is not the procurement manager or the project manager |
| | | Contract manager is the procurement manager | |
| | | Contract manager is the project manager | |
| | | Contract manager assigned is not the procurement manager or the project manager | |
| 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | No |
| | | No | |
| 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified | All or nearly all selection criteria and expected outcomes have been defined and documented |
| | | Some selection criteria and outcomes have been defined and documented | |
| | | All or nearly all selection criteria and expected outcomes have been defined and documented | |
| 5.17 | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| | | Multi-stage evaluation not planned/used for procurement | |
| | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Not applicable |
| | | No, bid response did/will not require proof of concept or prototype | |
| | | Yes, bid response did/will include proof of concept or prototype | |
| | | Not applicable | |

Section 6: Project Organization Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 6 -- Project Organization Area | | | |
|--|--|--|--|
| # | Criteria | Values | Answer |
| 6.01 | Is the project organization and governance structure clearly defined and documented within an approved project plan? | Yes | Yes |
| | | No | |
| 6.02 | Have all roles and responsibilities for the executive steering committee been clearly identified? | None or few have been defined and documented | All or nearly all have been defined and documented |
| | | Some have been defined and documented | |
| | | All or nearly all have been defined and documented | |
| 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | System Integrator (contractor) |
| | | Agency | |
| | | System Integrator (contractor) | |
| 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 3 or more |
| | | 2 | |
| | | 1 | |
| 6.05 | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified | Some or most staff roles and responsibilities and needed skills have been identified |
| | | Some or most staff roles and responsibilities and needed skills have been identified | |
| | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 6.06 | Is an experienced project manager dedicated fulltime to the project? | No experienced project manager assigned | Yes, experienced project manager dedicated full-time, 100% to project |
| | | No, project manager is assigned 50% or less to project | |
| | | No, project manager assigned more than half-time, but less than full-time to project | |
| | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 6.07 | Are qualified project management team members dedicated full-time to the project | None | Yes, business, functional or technical experts dedicated full-time, 100% to project |
| | | No, business, functional or technical experts dedicated 50% or less to project | |
| | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 6.08 | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources? | Few or no staff from in-house resources | Few or no 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 | Minimal or no impact |
| | | Moderate impact | |
| | | Extensive impact | |
| 6.10 | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost? | Yes | Yes |
| | | No | |
| 6.11 | Are all affected stakeholders represented by functional manager on the change review and control board? | No board has been established | Yes, all stakeholders are represented by functional manager |
| | | No, only IT staff are on change review and control board | |
| | | No, all stakeholders are not represented on the board | |
| | | Yes, all stakeholders are represented by functional manager | |

Section 7: Project Management Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| 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 | All or nearly all deliverables and acceptance criteria have been defined and documented |
| | | Some deliverables and acceptance criteria have been defined and documented | |
| | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| | | Only project manager signs-off | |
| | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 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 | No |
| | | No | |

Section 7: Project Management Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 7 -- Project Management Area | | | |
|--------------------------------------|--|---|--|
| # | Criteria | Values | Answer |
| 7.11 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources? | Yes | No |
| | | No | |
| 7.12 | Are formal project status reporting processes documented and in place to manage and control this project? | No or informal processes are used for status reporting | Project team uses formal processes |
| | | Project team uses formal processes | |
| | | Project team and executive steering committee use formal status reporting processes | |
| 7.13 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available? | No templates are available | All planning and reporting templates are available |
| | | Some templates are available | |
| | | All planning and reporting templates are available | |
| 7.14 | Has a documented Risk Management Plan been approved for this project? | Yes | No |
| | | No | |
| 7.15 | Have all known project risks and corresponding mitigation strategies been identified? | None or few have been defined and documented | Some have been defined and documented |
| | | Some have been defined and documented | |
| | | All known risks and mitigation strategies have been defined | |
| 7.16 | Are standard change request, review and approval processes documented and in place for this project? | Yes | Yes |
| | | No | |
| 7.17 | Are issue reporting and management processes documented and in place for this project? | Yes | Yes |
| | | No | |

Section 8: Project Complexity Assessment

Agency: Department of Children and Families

Project: Strengthening Child Safety Practice Through Technology

| Section 8 -- Project Complexity Area | | | |
|--------------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 8.01 | How complex is the proposed solution compared to the current agency systems? | Unknown at this time | Less complex |
| | | More complex | |
| | | Similar complexity | |
| | | Less complex | |
| 8.02 | Are the business users or end users dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.03 | Are the project team members dispersed across multiple cities, counties, districts, or regions? | Single location | Single location |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.04 | How many external contracting or consulting organizations will this project require? | No external organizations | 1 to 3 external organizations |
| | | 1 to 3 external organizations | |
| | | More than 3 external organizations | |
| 8.05 | What is the expected project team size? | Greater than 15 | Greater than 15 |
| | | 9 to 15 | |
| | | 5 to 8 | |
| | | Less than 5 | |
| 8.06 | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4 | More than 4 |
| | | 2 to 4 | |
| | | 1 | |
| | | None | |
| 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | Statewide or multiple agency business process change |
| | | Agency-wide business process change | |
| | | Statewide or multiple agency business process change | |
| 8.08 | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator? | Yes | Yes |
| | | No | |
| 8.09 | What type of project is this? | Infrastructure upgrade | Combination of the above |
| | | Implementation requiring software development or purchasing commercial off the shelf (COTS) software | |
| | | Business Process Reengineering | |
| | | Combination of the above | |
| 8.10 | Has the project manager successfully managed similar projects to completion? | No recent experience | Greater size and complexity |
| | | Lesser size and complexity | |
| | | Similar size and complexity | |
| | | Greater size and complexity | |
| 8.11 | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion? | No recent experience | Greater size and complexity |
| | | Lesser size and complexity | |
| | | Similar size and complexity | |
| | | Greater size and complexity | |

Appendix D: High Level Project Schedule

| ID | WBS | Task Name | Duration | Start | Finish |
|----|----------|--|-----------------|---------------------|---------------------|
| 1 | 1 | Office of Child Welfare | 189 days | Tue 7/5/16 | Fri 3/24/17 |
| 2 | 1.1 | PMO Process | 189 days | Tue 7/5/16 | Fri 3/24/17 |
| 3 | 1.2 | Initial Analysis | 25 days | Tue 7/5/16 | Mon 8/8/16 |
| 4 | 2 | Safety Methodology | 115 days | Mon 7/11/16 | Fri 12/16/16 |
| 5 | 2.1 | Modify Patently Unfounded Closure Edits | 20 days | Mon 7/18/16 | Fri 8/12/16 |
| 6 | 2.2 | Modify Child Fatality Case Closure Edits | 20 days | Mon 7/25/16 | Fri 8/19/16 |
| 7 | 2.3 | Align current Maltreatment Index in the FSFN Hotline Portal | 20 days | Mon 8/1/16 | Fri 8/26/16 |
| 8 | 2.4 | Align current Maltreatment Index in FSFN | 20 days | Mon 8/8/16 | Fri 9/2/16 |
| 9 | 2.5 | Change 'Voluntary' to 'Non-Judicial' in FSFN | 20 days | Mon 8/15/16 | Fri 9/9/16 |
| 10 | 2.6 | Update Child Safety Determination and Summary Determinations to SAFE and UNS/ | 20 days | Mon 8/22/16 | Fri 9/16/16 |
| 11 | 2.7 | Dynamically update Danger Threats on the Family Functioning Assessment – Ongoing and associated Template | 20 days | Mon 8/29/16 | Fri 9/23/16 |
| 12 | 2.8 | Dynamically update Danger Threats on the Progress Update and associated Template | 19 days | Tue 9/6/16 | Fri 9/30/16 |
| 13 | 2.9 | Dynamically update Judicial Review Worksheet from most recent Case Plan Workshe | 20 days | Mon 9/12/16 | Fri 10/7/16 |
| 14 | 2.10 | Update Case Plan Template to show the case 'Primary Worker' not 'Most Recent Wo | 20 days | Mon 9/19/16 | Fri 10/14/16 |
| 15 | 2.11 | Align Judicial Review Worksheet and Template with s. 39.604(3), F.S. | 20 days | Mon 9/26/16 | Fri 10/21/16 |
| 16 | 2.12 | Align Judicial Review Worksheet and Template with s. 39.701(2)(a)(5), F.S. | 20 days | Mon 10/3/16 | Fri 10/28/16 |
| 17 | 2.13 | Align most recent Progress Update to populate the Judicial Review | 20 days | Mon 10/10/16 | Fri 11/4/16 |
| 18 | 2.14 | Dynamically Update Case Plan Worksheet with information from the Family Functioning Assessment – Ongoing and Progress Update | 20 days | Mon 10/17/16 | Fri 11/11/16 |
| 19 | 2.15 | Add Conditions for Return to the Progress Update | 20 days | Mon 10/24/16 | Fri 11/18/16 |
| 20 | 2.16 | Update Safety Planning to include Family Made Arrangements | 20 days | Mon 10/31/16 | Fri 11/25/16 |
| 21 | 2.17 | Create new Behavior Management Plan for the safety of children in out-of-home plac | 20 days | Mon 11/7/16 | Fri 12/2/16 |
| 22 | 2.18 | Add Case Plan and Judicial Review Template in Spanish and Creole | 20 days | Mon 11/14/16 | Fri 12/9/16 |
| 23 | 3 | Data Reporting | 100 days | Mon 10/31/16 | Fri 3/17/17 |
| 24 | 3.1 | Update Child Investigations and Special Conditions Workload Listing | 20 days | Mon 11/7/16 | Fri 12/2/16 |
| 25 | 3.2 | Add Progress Update data to FSFN Reporting Environment | 30 days | Mon 12/5/16 | Fri 1/13/17 |
| 26 | 3.3 | Provide Community Based Care Agencies & CMO's access to Assessment and Planning in FSFN Reporting Environment | 19 days | Tue 1/17/17 | Fri 2/10/17 |
| 27 | 3.4 | Develop Real Time CBC Report | 20 days | Mon 2/13/17 | Fri 3/10/17 |
| 28 | 4 | Closing | 11 days | Fri 3/10/17 | Fri 3/24/17 |

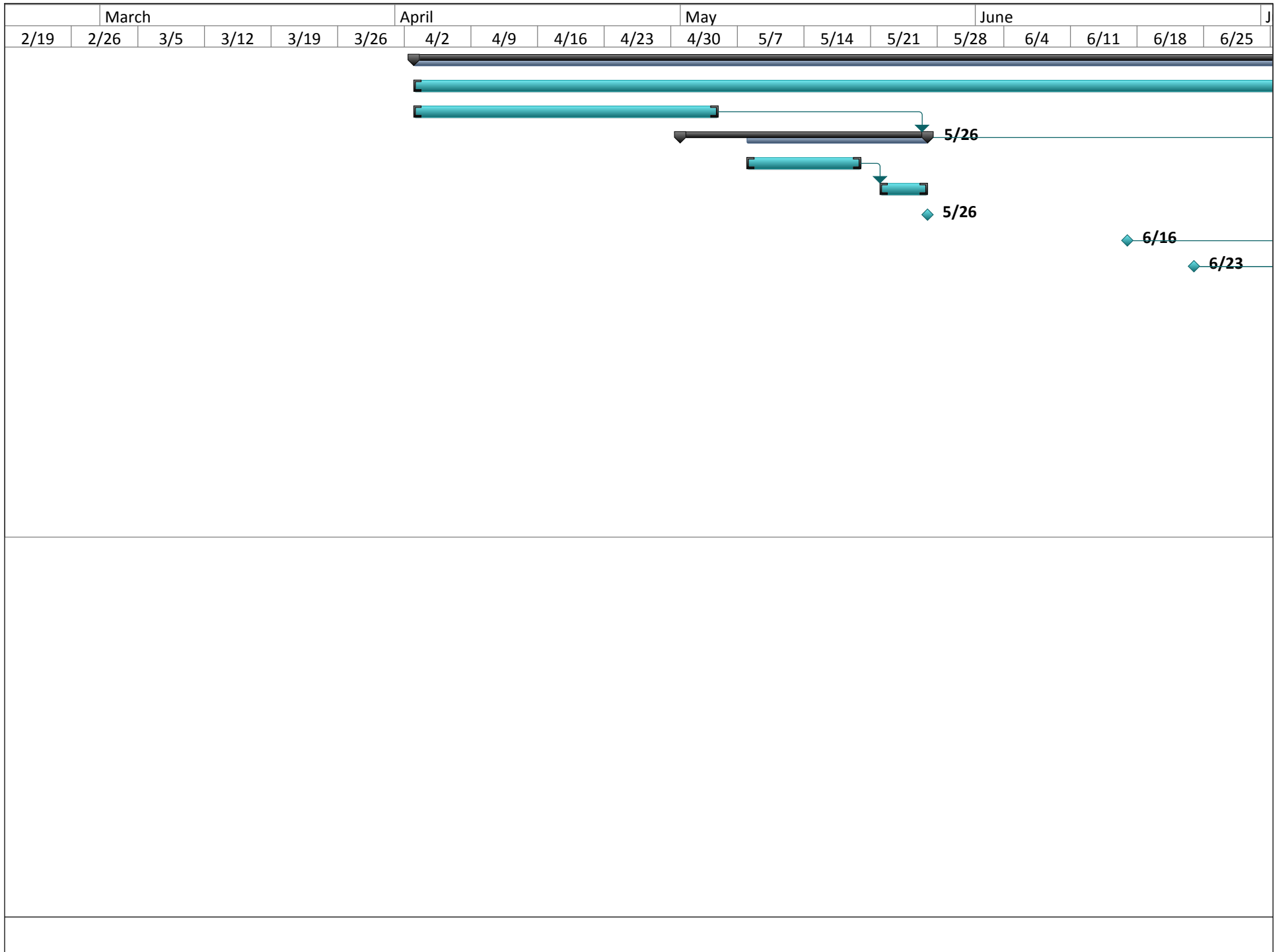
| ID | ID | WBS | Task Name | Duration | Start | August | | | | | | September |
|----|----|-----|---------------------------------------|-----------------|--------------------|--------|-----|-----|------|------|------|-----------|
| | | | | | | 7/26 | 8/2 | 8/9 | 8/16 | 8/23 | 8/30 | 9/ |
| 1 | 1 | 1 | Forms and Document Management | 129 days | Mon 4/3/17 | | | | | | | |
| 2 | 2 | 1.1 | PMO Process | 129 days | Mon 4/3/17 | | | | | | | |
| 3 | 3 | 1.2 | Initial Analysis | 24 days | Mon 4/3/17 | | | | | | | |
| 4 | 4 | 2 | Requirements Gathering | 20 days | Mon 5/1/17 | | | | | | | |
| 5 | 5 | 2.1 | Requirements Validation | 10 days | Mon 5/8/17 | | | | | | | |
| 6 | 6 | 2.2 | Requirements Refinement | 5 days | Mon 5/22/17 | | | | | | | |
| 7 | 7 | 2.3 | Requirements Approved | 1 day | Fri 5/26/17 | | | | | | | |
| 8 | 8 | 3 | Design and Develop | 15 days | Mon 5/29/17 | | | | | | | |
| 9 | 9 | 4 | System Coding | 10 days | Mon 6/12/17 | | | | | | | |
| 10 | 10 | 5 | System Testing | 15 days | Mon 6/26/17 | | | | | | | |
| 11 | 11 | 6 | User Acceptance Testing | 30 days | Mon 7/10/17 | | | | | | | |
| 12 | 12 | 6.1 | UAT Week 1 (60 per week / 12 per day) | 5 days | Mon 7/10/17 | | | | | | | |
| 13 | 13 | 6.2 | UAT Week 2 (60 per week / 12 per day) | 5 days | Mon 7/17/17 | | | | | | | |
| 14 | 14 | 6.3 | UAT Week 3 (60 per week / 12 per day) | 5 days | Mon 7/24/17 | | | | | | | |
| 15 | 15 | 6.4 | UAT Week 4 (60 per week / 12 per day) | 5 days | Mon 7/31/17 | | | | | | | |
| 16 | 16 | 6.5 | UAT Week 5 (60 per week / 12 per day) | 5 days | Mon 8/7/17 | | | | | | | |
| 17 | 17 | 6.6 | Defect Resolution | 30 days | Mon 7/10/17 | | | | | | | |
| 18 | 18 | 7 | Deploy | 1 day | Fri 9/8/17 | | | | | | | |
| 19 | 19 | 8 | Forms & Document Management Closing | 5 days | Fri 9/22/17 | | | | | | | |

| mber | | | | October | | | | November | | | | December | | | | January | | |
|------|------|------|------|---------|-------|-------|-------|----------|------|-------|-------|----------|------|-------|-------|---------|-----|------|
| 9/6 | 9/13 | 9/20 | 9/27 | 10/4 | 10/11 | 10/18 | 10/25 | 11/1 | 11/8 | 11/15 | 11/22 | 11/29 | 12/6 | 12/13 | 12/20 | 12/27 | 1/3 | 1/10 |
| | | | | | | | | | | | | | | | | | | |

| | | February | | | | | March | | | | | April | | | | May | | | |
|------|------|----------|-----|------|------|------|-------|------|------|------|-----|-------|------|------|-----|-----|------|------|--|
| 1/17 | 1/24 | 1/31 | 2/7 | 2/14 | 2/21 | 2/28 | 3/6 | 3/13 | 3/20 | 3/27 | 4/3 | 4/10 | 4/17 | 4/24 | 5/1 | 5/8 | 5/15 | 5/22 | |
| | | | | | | | | | | | | | | | | | | | |

| June | | | | | July | | | | | August | | | | | September | | | | | October |
|------|-----|------|------|------|------|------|------|------|------|--------|------|------|------|-----|-----------|------|------|------|--|---------|
| 5/29 | 6/5 | 6/12 | 6/19 | 6/26 | 7/3 | 7/10 | 7/17 | 7/24 | 7/31 | 8/7 | 8/14 | 8/21 | 8/28 | 9/4 | 9/11 | 9/18 | 9/25 | 10/2 | | |
| | | | | | | | | | | | | | | | | | | | | |

| | | | November | | | | December | | | | | January | | | | February | | |
|------|-------|-------|----------|------|-------|-------|----------|------|-------|-------|-------|---------|-----|------|------|----------|-----|------|
| 10/9 | 10/16 | 10/23 | 10/30 | 11/6 | 11/13 | 11/20 | 11/27 | 12/4 | 12/11 | 12/18 | 12/25 | 1/1 | 1/8 | 1/15 | 1/22 | 1/29 | 2/5 | 2/12 |
| | | | | | | | | | | | | | | | | | | |





SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

Appendix E: Communication Plan

| What | Who | Owner | Purpose | Frequency | Type |
|---|---|----------------------|--|---------------------|--|
| Project Plan (Integrated Work Stream Plans) | Key stakeholders | Project Manager | Update stakeholders and project teams on project progress, dependencies and milestones. | Bi-Weekly | Document distributed via hardcopy or electronically |
| Executive Status Report | All stakeholders | Project Manager | Update stakeholders on progress of the project. | Monthly | Distribute electronically and post on project repository |
| Steering Committee Meeting | Project Steering Committee, | Project Manager | Update Project Steering Committee on status and discuss critical issues. Approve changes to Project Plan. | Monthly | Meeting |
| Executive Sponsor Meeting | Sponsor | Project Manager | Update executive sponsor(s) on status; discuss critical issues and risks; and review changes to Project Plan. | Bi-Weekly | Meeting |
| Work Stream Workbook | Project teams | Work Stream Managers | To monitor and track project specific milestone status, issues, actions, decisions and risks, assumptions, constraints and scope tracking. | Weekly | Distribute electronically and post on project repository |
| Team Meetings | Entire project team. Individual meetings for sub-teams, technical team, and functional teams as appropriate | Work Stream Managers | To review detailed plans (tasks, assignments, issues, and action items). | Regularly Scheduled | Meeting Template |
| Project Repository | ALL Work Stream team members | Work Stream Managers | Central location to house status reports, meeting minutes, project description, and Project Initiation Plan. For any shared communication. | Regularly Scheduled | Shared network repository |

SCHEDULE IV-B FOR STRENGTHENING CHILD SAFETY PRACTICE THROUGH TECHNOLOGY

| What | Who | Owner | Purpose | Frequency | Type |
|----------------------------------|--------------------------------------|----------------------|---|------------------|----------------------------------|
| Periodic Demos and Presentations | Focus on specific groups | Work Stream Managers | To gain inputs and approvals from special groups and keep them abreast of the project's status. | As needed | Presentation/ Discussion |
| Other | To be determined by the project team | Work Stream Managers | General communications. | As needed | Email lists, announcements, etc. |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2016 - 2017**
Budget Entity: 60910506 - Mental Health Program

| (1) SECTION I | (2) ACTUAL FY 2014-2015 | (3) ESTIMATED FY 2015- 2016 | (4) REQUEST FY 2016- 2017 |
|-----------------------------------|---------------------------------------|---|---|
| Interest on Debt | (A) 4,715,110.00 | 4,655,110.00 | 4,268,235.00 |
| Principal | (B) 6,660,000.00 | 7,025,000.00 | 7,410,000.00 |
| Repayment of Loans | (C) | | |
| Fiscal Agent or Other Fees | (D) 31,673.29 | 35,000.00 | 35,000.00 |
| Other - Arbitrage Rebate Analysis | (E) 1,500.00 | 6,000.00 | 7,500.00 |
| Total Debt Service | (F) 11,408,283.29 | 11,721,110.00 | 11,720,735.00 |

Explanation: South Florida State Hospital COP - 1998 (\$37,985,000)
South Florida Evaluation Treatment Center COP - 2005 (\$41,940,000)
Florida Civil Commitment Center COP - 2006 (\$68,730,000)

SECTION II

ISSUE: South Florida State Hospital COP - 1998 (\$37,985,000)

| (1) INTEREST RATE | (2) MATURITY DATE | (3) ISSUE AMOUNT | (4) JUNE 30, 2016 | (5) JUNE 30, 2017 |
|-----------------------------|-----------------------------|----------------------------|-----------------------------|-----------------------------|
| From 3.75% to 5.00% | 7/1/2018 | \$37,985,000.00 | \$5,915,000.00 | \$3,030,000.00 |

| (6) | (7) ACTUAL FY 2014-2015 | (8) ESTIMATED FY 2015- 2016 | (9) REQUEST FY 2016- 2017 |
|-----------------------------------|---------------------------------------|---|---|
| Interest on Debt | (G) 564,000.00 | 433,250.00 | 295,750.00 |
| Principal | (H) 2,615,000.00 | 2,750,000.00 | 2,885,000.00 |
| Fiscal Agent or Other Fees | (I) 9,793.44 | 10,000.00 | 10,000.00 |
| Other - Arbitrage Rebate Analysis | (J) | 1,500.00 | 1,500.00 |
| Total Debt Service | (K) 3,188,793.44 | 3,194,750.00 | 3,192,250.00 |

ISSUE: South Florida Evaluation Treatment Center COP - 2005 (\$41,940,000)

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 2016 | JUNE 30, 2017 |
|----------------------|----------------------|---------------------|----------------------|----------------------|
| From 4.00% to 5.00% | 10/1/2025 | \$41,940,000.00 | 29,000,000.00 | 26,975,000.00 |

| | ACTUAL FY 2014-2015 | ESTIMATED FY 2015- 2016 | REQUEST FY 2016- 2017 |
|-----------------------------------|--------------------------------|------------------------------------|----------------------------------|
| Interest on Debt | (G) 1,600,500.00 | 1,484,500.00 | 1,385,750.00 |
| Principal | (H) 1,810,000.00 | 1,925,000.00 | 2,025,000.00 |
| Fiscal Agent or Other Fees | (I) 7,820.90 | 10,000.00 | 10,000.00 |
| Other - Arbitrage Rebate Analysis | (J) | 3,000.00 | 3,000.00 |
| Total Debt Service | (K) 3,418,320.90 | 3,422,500.00 | 3,423,750.00 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2016 - 2017**
Budget Entity: 60910506 - Mental Health Program

| (1) SECTION I | (2) ACTUAL FY 2014-2015 | (3) ESTIMATED FY 2015- 2016 | (4) REQUEST FY 2016- 2017 |
|-----------------------------------|---------------------------------------|---|---|
| Interest on Debt | (A) <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Principal | (B) <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Repayment of Loans | (C) <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Fiscal Agent or Other Fees | (D) <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Other - Arbitrage Rebate Analysis | (E) <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Total Debt Service | (F) <input type="text"/> | <input type="text"/> | <input type="text"/> |

Explanation: South Florida State Hospital COP - 1998 (\$37,985,000)
South Florida Evaluation Treatment Center COP - 2005 (\$41,940,000)
Florida Civil Commitment Center COP - 2006 (\$68,730,000)

SECTION II

ISSUE: Florida Civil Commitment Center COP - 2006 (\$68,730,000)

| (1) INTEREST RATE | (2) MATURITY DATE | (3) ISSUE AMOUNT | (4) JUNE 30, 2016 | (5) JUNE 30, 2017 |
|-----------------------------------|--------------------------------|------------------------------------|----------------------------------|-----------------------------|
| From 4.00% to 5.00% | 10/1/2029 | \$68,370,000.00 | \$54,395,000.00 | \$51,895,000.00 |
| (6) | (7) | (8) | (9) | (9) |
| | ACTUAL FY 2014-2015 | ESTIMATED FY 2015- 2016 | REQUEST FY 2016- 2017 | |
| Interest on Debt | (G) 2,550,610.00 | 2,737,360.00 | 2,586,735.00 | |
| Principal | (H) 2,235,000.00 | 2,350,000.00 | 2,500,000.00 | |
| Fiscal Agent or Other Fees | (I) 14,058.95 | 15,000.00 | 15,000.00 | |
| Other - Arbitrage Rebate Analysis | (J) 1,500.00 | 1,500.00 | 3,000.00 | |
| Total Debt Service | (K) 4,801,168.95 | 5,103,860.00 | 5,104,735.00 | |

ISSUE:

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 2016 | JUNE 30, 2017 |
|-----------------------------------|--------------------------------|------------------------------------|----------------------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | ACTUAL FY 2014-2015 | ESTIMATED FY 2015- 2016 | REQUEST FY 2016- 2017 | |
| Interest on Debt | (G) <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Principal | (H) <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Fiscal Agent or Other Fees | (I) <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Other - Arbitrage Rebate Analysis | (J) <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| Total Debt Service | (K) 0.00 | 0.00 | 0.00 | |

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2016-17

Department: DCF

Chief Internal Auditor: Jerry Chesnutt

Budget Entity: _____

Phone Number: (850) 717-4168

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|-----------------|------------------------|---|--|----------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| A-1314DCF-030 | Issued 2/3/2015 | Information Technology | <p>Finding: The Department’s procedures for ensuring prompt disconnection of Centrex telephone lines were not initiated timely, resulting in payment of at least \$262,506 for dual telecommunication services from four to 15 months after the successful implementation of VoIP telephones.</p> <p>Recommendation: Implement disconnection procedures timely and initiate regular audits of VoIP and Centrex telephones to ensure prompt disconnection of non-essential telephones and avoid continued excessive costs to the Department.</p> | The DCF Network team conducts regular audits to make sure we are not paying for lines that are not being used. | Not Applicable |

| | | | | | |
|---------------|------------------|------------------|--|---|----------------|
| A-1415DCF-010 | Issued 6/29/2015 | General Services | <p>Findings:</p> <ul style="list-style-type: none"> • The DCF faces challenges in effectively planning for and managing the size and composition of its fleet, particularly in the regions. • As of May 4, 2015, five of the 50 vehicles in our sample had open safety recalls. • Excessive maintenance and repair costs may outweigh the benefits of keeping certain vehicles. • For the months tested, the available Vehicle Usage Records for vehicle DCF38190 did not adequately document the vehicle's usage. | <p>The Office of General Services has begun an analysis to determine the mileage breakeven point and has developed a draft business case for leasing vehicles. They are also analyzing use of donated vehicles and vehicle needs. Scheduled repairs are in progress and a quarterly report has been created using the federal VIN database to ensure vehicles are checked for recall issues. The corrective action plan includes recall appointments, training of supervisors and staff, and check out stations for vehicles with logs.</p> | Not Applicable |
| | | | <p>Recommendations:</p> <ul style="list-style-type: none"> • Determine the cost of assigning vehicles to employees versus the cost of reimbursing employees for mileage and vehicle insurance. • Ensure that the five vehicles are repaired in accordance with the manufacturer's safety recall and that any other fleet vehicles are maintained accordingly. • Determine the cost of repairs for donated cars. • Determine the number of pool vehicles for shared use by Department staff. • Staff should record daily their use of DCF vehicles and correspond to odometer readings in the DMS FLEET System. | | |

| | | | | | |
|---------------|------------------|---|---|---|----------------|
| A-1415DCF-012 | Issued 3/16/2015 | Post-Audit Sampling of Mileage Reimbursements to the Northwest Region - Non-Office of Child Welfare Employees | <p>Findings:</p> <ul style="list-style-type: none"> • Employees did not always fully or accurately complete their Vouchers for Reimbursement of Traveling Expenses or Vicinity Mileage Logs. • Employees did not always sufficiently state on their Travel Vouchers and Vicinity Mileage Logs the purpose of the travel performed. | | Not Applicable |
| | | | <p>Recommendations:</p> <ul style="list-style-type: none"> • Northwest Region management of programs/offices, other than the Child Welfare Program, remind supervisors to ensure that Travel Vouchers and Vicinity Mileage Logs have been completed in accordance with CFOP 40-1 before approving these documents for payments. • Northwest Region management of programs/offices, other than the Child welfare Program, should instruct their employees to state the purpose or reason for travel on the Travel Voucher and Vicinity Mileage Log with sufficient detail for someone not knowledgeable of the trip to understand why the trip was necessary. | <p>On February 4, 2015 during the weekly Regional meeting, Managing Director Abrams directed team members to have their program supervisors remind staff to include Vicinity Mileage Logs and to ensure that logs and Travel Vouchers are completed in accordance with CFOP 40-1. Staff were advised to review these documents for correctness prior to approval. She went over the criteria used in reviewing sample payments and emphasized the importance. Staff were instructed to state the purpose or reason for the Travel Voucher and Vicinity Mileage Log with sufficient detail. The Region will schedule refresher training for all staff who are responsible for completing staff travel vouchers. Leadership staff have instructed employees to review the travel policy and to comply thereby. Supervisory staff have been advised to ensure that the Trael Vouchers and Vicinity Mileage Logs are reviewed for correctness before signing.</p> | |

| | | | | | |
|---------------|------------------|---|---|--|----------------|
| A-1415DCF-182 | Issued 3/16/2015 | Post-Audit Sampling of Mileage Reimbursements to the Northwest Region - Office of Child Welfare Employees | <p>Findings:</p> <ul style="list-style-type: none"> • An employee was reimbursed \$822.80 for mileage even though their supporting Vicinity Mileage Logs lacked the required beginning and ending odometer readings. • In some instances, mileage claimed by employees on their Vouchers for reimbursement was not supported by, or in agreement with, the mileage on their Vicinity Mileage Logs. • Employees did not always claim map mileage and vicinity mileage in accordance with DCF policy. • Employees did not always fully or accurately complete their Vouchers for reimbursement or Vicinity Mileage Logs. <p>Recommendations:</p> <ul style="list-style-type: none"> • Northwest Region management should remind employees to submit completed Vicinity Mileage Logs with Travel Vouchers for reimbursement. • Management should instruct supervisors to ensure this is being done in accordance with CFOP 40-1 and to document their approval prior to submitting the reimbursement request for payment. • Management should review the Travel Vouchers and Vicinity Mileage Logs in question with the employee and consider whether specific corrective action is necessary. • Administrative Services Support Center management should remind staff to ensure that supporting Vicinity Mileage Logs are complete before processing Travel Vouchers. | <p>ASSC disbursement staff travel auditors were reminded to audit Travel Vouchers and Vicinity Mileage Logs in accordance with DCF and DFS policy as well as F.S. 112.061 to ensure the Vicinity Mileage Log contains all required data, including the beginning and ending odometer readings so that mileage is calculated and reimbursed accurately. Staff was instructed that if the Vicinity Mileage Logs are not fully completed, they are to be returned to the preparer for correction and not to process the Travel Vouchers for reimbursement. See Response for Report number A-1415DCF-012 for the Regional Managing Director Abrams response.</p> | Not Applicable |
|---------------|------------------|---|---|--|----------------|

| | | | | | |
|---|------------------|---|--|--|----------------|
| AG Report 2015-156 | Issued 3/26/2015 | DCF and Selected Community-Based Care Lead Agencies-Oversight of Foster Care and Related Services | <p>Finding No. 2: The Department did not conduct overall reconciliations between the expenditure data maintained in the Florida Safe Families Network (FSFN), Florida Accounting Information Resource Subsystem (FLAIR), and Grants and Other Revenue Allocation and Tracking System (GRANTS). Such reconciliations are important to ensure that the data used for budgeting, tracking client services, and the determination of Federal reimbursement amounts is accurate and complete. Additionally, Department procedures for reconciling amounts reported on the CBCs' Monthly Actual Expenditure Reports to FSFN client payment data need enhancement to ensure that payments made to the CBCs and recorded in FLAIR are complete, accurate, and valid.</p> <p>Recommendations: We recommend that Department management establish procedures requiring periodic reconciliations of FSFN, FLAIR, and GRANTS data. We also recommend that Department management enhance the FSFN to CBC Monthly Actual Expenditure Reports reconciliation procedures to ensure that payments made to the CBCs and recorded in FLAIR are complete, accurate, and valid. Department management should ensure that documentation of the supervisory review of all reconciliations performed is appropriately maintained.</p> | The Department will work with CBCs to develop a process to improve reconciliations between payment information in FSFN to CBC Monthly Expenditure Reports which is the basis for expenditures in FLAIR. This approach has to balance the current method of payment to CBCs required by section 409.990(1), Florida Statutes, and the normal timing differences between CBC service delivery, CBC payment to providers and CBC reporting to the Department. | Not Applicable |
| Office of Policy and Budget - July 2015 | | | <p>Finding No. 3: The CBCs could not always demonstrate that contract payments were properly supported by adequate documentation or made in accordance with applicable contract terms.</p> <p>Recommendation: We recommend that CBC management ensure that contract payments are adequately supported and made in accordance with applicable contract terms.</p> | The Department will develop written policies, procedures and tools for monitoring CBC compliance with their contract payments to providers based upon the terms of the contracts and verification of service delivery, by September 30, 2015. | Not Applicable |

Fiscal Year 2016-17 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Department of Children and Families |
| Agency Budget Officer/OPB Analyst Name: |

A "Y" indicates "YES" and is acceptable, an "N/I" 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 | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |

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 |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Y | Y | Y | Y | Y | Y |

AUDITS:

| | | | | | | |
|--|---|---|---|---|---|---|
| 1.3 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 |
| 1.4 Has security been set correctly? (CSDR, CSA) | 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 |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | Y | Y | Y | Y | Y |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue? | Y | Y | Y | Y | Y | Y |
| 2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed? | Y | Y | Y | 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. | N/A | N/A | N/A | N/A | N/A | N/A |
|---|-----|-----|-----|-----|-----|-----|

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 |
|--|---|---|---|---|---|---|

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | Y | Y | Y | Y | Y |
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | | |
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | | |
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, 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 |
| 4.2 Is the program component code and title used correct? | Y | Y | Y | Y | Y | Y |
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y | Y | Y | Y | Y | Y |
| AUDITS: | | | | | | |
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | Y | Y | Y | Y | Y |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Y | Y | Y | Y | Y | Y |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) | 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 |

| Action | Program or Service (Budget Entity Codes) | | | | | | |
|--|---|----------|----------|----------|----------|----------|-----|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 | |
| <p>TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.</p> | | | | | | | |
| 7. EXHIBIT D-3A (EADR, ED3A) | | | | | | | |
| 7.1 | Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 33 of the LBR Instructions.) | Y | Y | Y | Y | Y | Y |
| 7.2 | Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.) | Y | Y | Y | Y | Y | Y |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions? | N/A | Y | N/A | N/A | N/A | N/A |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | Y | N/A | N/A | N/A | N/A |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 through E-6 of the LBR Instructions.) | N/A | Y | Y | N/A | N/A | 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 | N/A | N/A | Y |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADAC)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. | Y | Y | Y | Y | Y | Y |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | N/A | N/A | Y | N/A | 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 |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | Y | N/A | N/A | N/A | N/A | N/A |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | Y | Y | Y | Y | Y |
| 7.15 | Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount. | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.16 | Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 28 and 90 of the LBR Instructions.) | N/A | N/A | N/A | N/A | Y | N/A |

| Action | Program or Service (Budget Entity Codes) | | | | | |
|---|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 or 55C01C0)? | N/A | Y | N/A | N/A | N/A | N/A |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | Y | Y | Y | Y | Y |
| AUDIT: | | | | | | |
| 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 |
| 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 |
| 7.22 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | Y | Y | Y | Y | Y |
| 7.23 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | N/A | 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 | N/A | 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. | | | | | | |
| 8. SCHEDULE I & RELATED DOCUMENTS (SCIR, SC1 - Budget Entity Level or SCIR, SCID - 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 |
| 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 |

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)? | Y | Y | Y | Y | Y | Y |
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | 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 |
| 8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | Y | Y | Y | Y | Y |
| 8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds? | Y | Y | Y | Y | Y | Y |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation? | Y | Y | Y | Y | Y | Y |
| 8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | Y | Y | Y | Y | Y | Y |
| 8.10 Are the statutory authority references correct? | Y | Y | Y | Y | Y | Y |
| 8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, Florida Statutes for appropriate general revenue service charge percentage rates.) | Y | Y | Y | Y | Y | Y |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | 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 |
| 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 |
| 8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | Y | Y | Y | Y | Y |
| 8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | Y | Y | Y | Y | Y |
| 8.17 If applicable, are nonrecurring revenues entered into Column A04? | 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 |
| 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 |
| 8.20 Are appropriate general revenue service charge nonoperating amounts included in Section II? | Y | Y | Y | Y | Y | Y |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | Y | Y | Y | Y | Y |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | Y | Y | Y | Y | Y |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | Y | Y | Y | Y | Y |

| Action | Program or Service (Budget Entity Codes) | | | | | |
|---|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 8.24 Are prior year September operating reversions appropriately shown in column A01? | Y | Y | Y | Y | Y | Y |
| 8.25 Are current year September operating reversions appropriately shown in column A02? | Y | Y | Y | Y | Y | Y |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | Y | Y | Y | Y | Y |
| 8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | N/A | N/A | N/A | N/A | N/A | N/A |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y | Y | Y | Y | Y | Y |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | Y | Y | Y | Y | Y |
| AUDITS: | | | | | | |
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | Y | Y | Y | Y | Y |
| 8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report") | Y | Y | Y | Y | Y | Y |
| 8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | Y | Y | Y | Y | Y | Y |
| 8.33 Has a Schedule IB been provided for each trust fund and does total agree with line I ? | Y | Y | Y | Y | Y | Y |
| 8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | Y | Y | Y | Y | Y | Y |
| TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible! | | | | | | |
| TIP Determine if the agency is scheduled for trust fund review. (See page 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. | | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | |
| AUDIT: | | | | | | |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 161 of the LBR Instructions.) | N/A | N/A | Y | N/A | N/A | 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.) | N/A | N/A | Y | N/A | N/A | N/A |
| 10.2 Are amounts in <i>Other Salary Amount</i> 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 |

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 Are the correct Information Technology (IT) issue codes used? | N/A | Y | N/A | 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 |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 NOT REQUIRED FOR THIS YEAR | | | | | | |
| 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 |
| 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. | Y | Y | Y | Y | Y | Y |
| 15.2 Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check. | Y | Y | Y | Y | Y | Y |
| 15.3 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level? | Y | Y | Y | Y | Y | Y |
| 15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 of the LBR instructions? | Y | Y | Y | Y | Y | Y |
| 15.5 Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source? | Y | Y | Y | Y | Y | Y |
| AUDIT: | | | | | | |
| 15.6 Do the issues net to zero at the department level? (GENR, LBR5) | Y | Y | Y | Y | Y | Y |
| 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 <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.) | Y | Y | Y | Y | Y | Y |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | Y | Y | Y | Y | Y |
| AUDITS INCLUDED IN THE SCHEDULE XI REPORT: | | | | | | |
| 16.3 Does the FY 2014-15 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1) | Y | Y | Y | Y | Y | Y |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | Y | Y | Y | Y | Y |
| 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 |

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.) | Y | Y | Y | Y | Y | Y |

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 60900101 | 60900202 | 60910310 | 60910506 | 60910708 | 60910950 |
| 16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | Y | Y | Y | Y | Y | Y |
| TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | | |
| 17. MANUALLY PREPARED EXHIBITS & SCHEDULES | | | | | | |
| 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 |
| 17.2 Are appropriation category totals comparable to Exhibit B, where applicable? | Y | Y | Y | Y | Y | Y |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | Y | Y | Y | Y | Y |
| 17.4 Does the LBR include a separate 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 | Y | N/A | N/A | N/A | N/A |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ? | Y | N/A | N/A | N/A | N/A | N/A |
| AUDITS - GENERAL INFORMATION | | | | | | |
| TIP Review <i>Section 6: Audits</i> 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. | | | | | | |
| 18. CAPITAL IMPROVEMENTS PROGRAM (CIP) | | | | | | |
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Y | N/A | N/A | Y | Y | Y |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | Y | N/A | N/A | Y | Y | Y |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | Y | N/A | N/A | Y | Y | Y |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | Y | N/A | N/A | Y | Y | Y |
| 18.5 Are the appropriate counties identified in the narrative? | Y | N/A | N/A | Y | Y | Y |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | Y | N/A | N/A | Y | Y | Y |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | | |
| 19. FLORIDA FISCAL PORTAL | | | | | | |
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y | Y | Y | Y | Y | Y |