

**Terry L. Rhodes**  
Executive Director

2900 Apalachee Parkway  
Tallahassee, Florida 32399-0500  
www.flhsmv.gov



**Rick Scott**  
Governor

**Pam Bondi**  
Attorney General

**Jeff Atwater**  
Chief Financial Officer

**Adam Putnam**  
Commissioner of Agriculture

LEGISLATIVE BUDGET REQUEST  
October 14, 2016

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

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

Tim Sadberry, Deputy Staff Director  
Senate Committee on Appropriations  
201 Capitol  
Tallahassee, Florida 32399-1300

Dear Directors::

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Highway Safety and Motor Vehicles 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 2017-18 Fiscal Year.

If you have any questions or concerns about our Legislative Budget Request, please feel free to contact me at (850) 617-3100 or Susan (Suzie) Carey, Chief Financial Officer, at (850) 617-3404.

Sincerely,

A handwritten signature in blue ink, appearing to read "Terry L. Rhodes".

Terry L. Rhodes  
Executive Director



## **Department Level Exhibits and Schedules**

# Legislative Budget Request FY 2017-2018

## Employee Compensation and Benefits

The department requests the following language continue to be included to the back of the appropriations bill.

- The Department is authorized to continue its “Field Training Officer (FTO)” training program for employees that train recruits that graduate from the FHP training academy. This includes granting a pay additive to participating employees.

### **Florida Highway Patrol Field Training Officer (FTO) Additive**

#### **Classes & Approximate Number of Positions Affected:**

• LAW ENFORCEMENT INVESTIGATOR I	8
• LAW ENFORCEMENT LIEUTENANT	28
• LAW ENFORCEMENT OFFICER	268
• LAW ENFORCEMENT SERGEANT	45
Total Positions	349
<b>Estimated Cost</b>	<b>\$268,000</b>

- The Department is authorized to continue to grant a critical market pay additive to employees residing in and assigned to Lee County, Collier County, Hillsborough County, Orange County, Pinellas County, Duval County, Marion County, Escambia County or Monroe County, at the currently established levels. This additive shall be granted only during the time in which the employee resides in, and is assigned to duties within, those counties.

### **Florida Highway Patrol Critical Market Pay Additive for Sworn Personnel (Lee/ Collier/ Monroe/ Hillsborough/ Orange/ Pinellas/ Duval/ Marion/ Escambia)**

#### **Classes & Approximate Number of Positions Affected:**

• LAW ENFORCEMENT AIRPLANE PILOT I	1
• LAW ENFORCEMENT INVESTIGATOR I	26
• LAW ENFORCEMENT INVESTIGATOR II	3
• LAW ENFORCEMENT LIEUTENANT	20
• LAW ENFORCEMENT OFFICER	263
• LAW ENFORCEMENT SERGEANT	37
Total Positions	350
<b>Estimated Cost</b>	<b>\$1,725,000</b>

- The Department is authorized to continue to grant a temporary special duty pay additive of \$162.50 per pay period for law enforcement officers assigned to the Office of Commercial Vehicle Enforcement who, maintain certification by the Commercial Vehicle Safety Alliance.

### **Florida Highway Patrol Commercial Vehicle Enforcement (CVE) Temporary Additive**

#### **Classes & Approximate Number of Positions Affected:**

• LAW ENFORCEMENT LIEUTENANT	14
• LAW ENFORCEMENT OFFICER	188
• LAW ENFORCEMENT SERGEANT	25
Grand Total	227
<b>Estimated Cost</b>	<b>\$443,000</b>

- The Department is authorized to continue to grant a critical market pay additive of \$1,300 per year to non-sworn Florida Highway Patrol personnel working and residing in Miami-Dade and Broward counties. This additive shall be granted only during the time in which the employee resides in, and is assigned to duties within those counties.

**Florida Highway Patrol Critical Market Pay Additive for Non-Sworn Personnel (Miami Dade and Broward)**

**Classes and Approximate Number of Positions Affected:**

• ADMINISTRATIVE SECRETARY	3
• COMMUNICATIONS TRAINING OFFICER	5
• CRIME LABORATORY TECHNICIAN	1
• DUTY OFFICER	1
• GOVERNMENT OPERATIONS CONSULTANT II	1
• MAINTENANCE MECHANIC	2
• OFFICE OPERATIONS CONSULTANT I	1
• RECORDS TECHNICIAN	1
• REGIONAL DUTY OFFICER	14
• RESEARCH & STATISTICS CONSULTANT	1
• SENIOR CLERK	6
Total Positions	36
<b>Estimated Cost</b>	<b>\$51,000</b>

- The Department is authorized to continue to grant a special duty pay additive of \$2,000 per year for law enforcement officers who perform additional duties as K-9 handlers; felony officers; criminal interdiction officers; criminal investigation and intelligence officers; new recruit background checks and training, and technical support officers; drug recognition experts; hazardous material squad members; compliance investigation squad members; or motor cycle squad members.

**Florida Highway Patrol Special Duty Pay Additive**

**Classes and Approximate Number of Positions Affected:**

• LAW ENFORCEMENT INVESTIGATOR I	8
• LAW ENFORCEMENT INVESTIGATOR II	10
• LAW ENFORCEMENT LIEUTENANT	19
• LAW ENFORCEMENT OFFICER	157
• LAW ENFORCEMENT SERGEANT	34
Total Positions	228
<b>Estimated Cost</b>	<b>\$456,000</b>

- The Department is requesting authorization to grant a special duty pay additive of \$2,000 per year for the Florida Highway Patrol Quick Response Force (QRC). This is a platoon of members trained in Mobile Field Force Tactics. The agency is not requesting any rate or additional appropriation for this special duty pay additive.

**Florida Highway Patrol Special Duty Pay Additive**

**Classes and Approximate Number of Positions Affected:**

• LAW ENFORCEMENT OFFICER	350
• LAW ENFORCEMENT SERGEANT	50
• LAW ENFORCEMENT LIEUTENANT	10

Total Positions  
**Estimated Cost**

410  
**\$1,036,562**

- The Department is authorized to grant merit pay increases to employees based on the employee's exemplary performance.
- The Department is authorized to continue to grant temporary special duties pay additives to employees assigned additional duties as a result of another employee being absent from work pursuant to the Family Medical Leave Act or authorized military leave.

In addition, the Department requests the following language be added in the back of the appropriations bill. The temporary special duty pay additives described below will begin on the first day the special duties are assigned. The temporary special duty pay additive will not go beyond 90 without the Department reviewing the circumstances to extend it beyond 90 days. The temporary special pay additive will be an amount up to 15% of the employee's base rate of pay depending on the extra duties given. These requests meet the requirements specified in the following collective bargaining contracts:

1. AFSCME
2. Police Benevolent Association – Florida Highway Patrol Unit Agreement

- The Department is authorized to grant temporary special duties pay additives to employees assigned additional duties as a result of time critical projects such as data center consolidation.
- The Department is authorized to grant temporary special duty pay to employees assigned additional duties, not related to their current position, as a result of a position vacancy, another employee being absent for non-FMLA related reasons or temporary training duties.
- When necessary the Department is authorized to continue temporary special duties beyond 90 days without having to obtain approval from the Department of Management Services.

## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.*

Agency:	Highway Safety and Motor Vehicles		
Contact Person:	Rich Coln	Phone Number:	(407) 384-2000
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Estate of Danielle C. Maudsley v. Florida Highway Patrol and Trooper Daniel Cole (closed 8/10/15 – Settled \$200,000.00)		
Court with Jurisdiction:	U.S. District Court, Middle District of Florida		
Case Number:	8:14-cv-1798-T-EAK-TBM		
Summary of the Complaint:	<p>On September 19, 2011, Trooper Daniel Cole arrested Danielle C. Maudsley for two counts of driving without a valid driver license and two counts of leaving the scene of a crash involving property damage. While Cole was completing arrest paperwork at the Florida Highway Patrol (FHP) Station in Pinellas Park, Maudsley attempted to escape. As Maudsley exited the FHP Station, Cole utilized his Taser electronic control device (ECO) on Maudsley. Maudsley fell onto the parking lot, which caused her skull to fracture. Emergency Medical Services (EMS) personnel transported Maudsley to the hospital where she was diagnosed with an occipital skull fracture and brain damage. She remained in a vegetative state until her death in September 2013.</p>		
Amount of the Claim:	\$2 million		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	All parties signed the Settlement with the last signature dated August 10, 2015. The agreed amount was \$200,000.00. Plaintiff intends to seek a claims bill for an additional \$1.75 million this year, which the Department will neither support nor oppose.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Ralph M. Guito, III, Esq. Cintyre, Panzarella, Thansides, Bringgold & Todd 201 E. Kennedy Boulevard, Suite 1000 Tampa, Florida 33602
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*Office of Policy and Budget – June 2016*

## 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.*

<b>Agency:</b>	Highway Safety and Motor Vehicles		
<b>Contact Person:</b>	John V. McCarthy	<b>Phone Number:</b>	(850) 617-3101
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Alfredo Crespin vs. DHSMV & Terry Rhodes		
<b>Court with Jurisdiction:</b>	U.S. District Court, Middle District of Florida		
<b>Case Number:</b>	6:16-cv-00276-GAP-DAB		
<b>Summary of the Complaint:</b>	Suit filed by attorneys David Oliver and Stuart Hymen seeking to invalidate as unconstitutional the administrative driver license suspension process set out in s. 322.2615, F.S. Seeks class certification and \$50M in damages.		
<b>Amount of the Claim:</b>	\$50 Million		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	The initial complaint was served on the Department and Terry Rhodes February 2016. The Department forwarded the lawsuit to the Office of the Attorney General for handling. On March 29, 2016, an Amended Complaint with Jury Demand was filed against the Department and Terry Rhodes. On April 27, 2016, the Department filed a Motion to Dismiss Amended Complaint. On June 20, 2016, a Second Amended Complaint was filed against the Department and Terry Rhodes, that pleading was followed by a Motion to Dismiss Second Amended Complaint filed by the Department. As of August 16, 2016, an Endorsed Order by the Court was filed Granting a Motion to Extend Time. The deadline for filing a Motion for Class Certification is suspended until further Order of the Court.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	



If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).

David Scott Oliver  
Law Offices of David S. Oliver  
424 E. Central Blvd., Ste. 228  
Orlando, Florida 32801

Stuart I. Hyman  
Stuart I. Hyman, PA  
1520 E. Amelia Street  
Orlando, Florida 32803

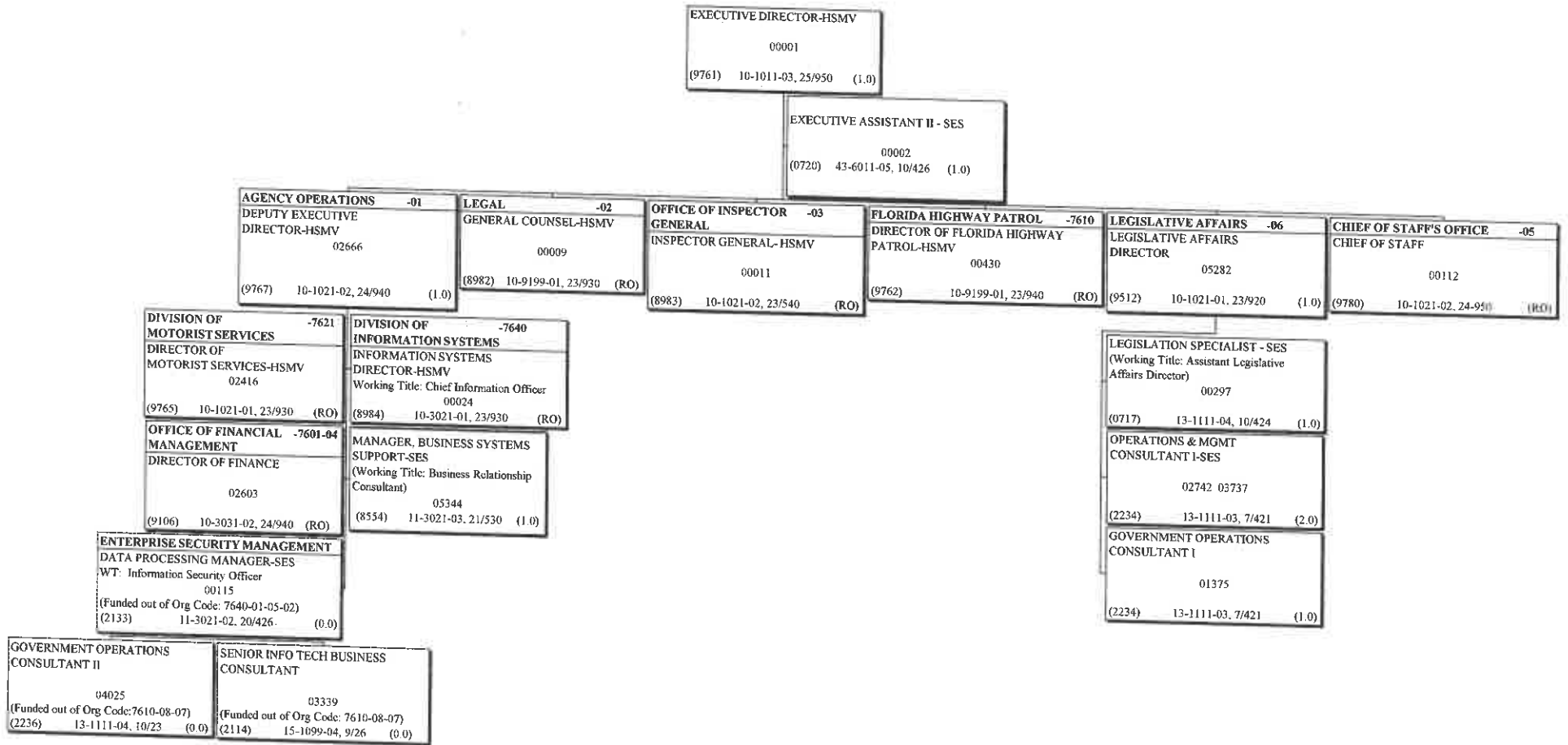
## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.*

Agency:	Highway Safety and Motor Vehicles		
Contact Person:	Kathy Jimenez-Morales	Phone Number:	617-3101
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Toni Foudy, Shaun Foudy v. Geral M. Bailey, Terry L. Rhodes, et al		
Court with Jurisdiction:	United District Court for the Southern District of FL		
Case Number:	14-14329-CIV-MARRA/LYNCH		
Summary of the Complaint:	Alleging that Plaintiffs were illegally searched through the use of DAVID by more than 800 queries by law enforcement officers between July 1, 2005 and June 28, 2011.		
Amount of the Claim:	\$1,000,000 in compensatory damages & liquidated damages of at least \$2500 for each violation		
Specific Statutes or Laws (including GAA) Challenged:	Driver's Privacy Protection Act (DPPA), 18 USC 2721-2725.		
Status of the Case:	Defendants have filed their MSJ; case set for trial 2-week calendar beginning 2/6/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	**	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

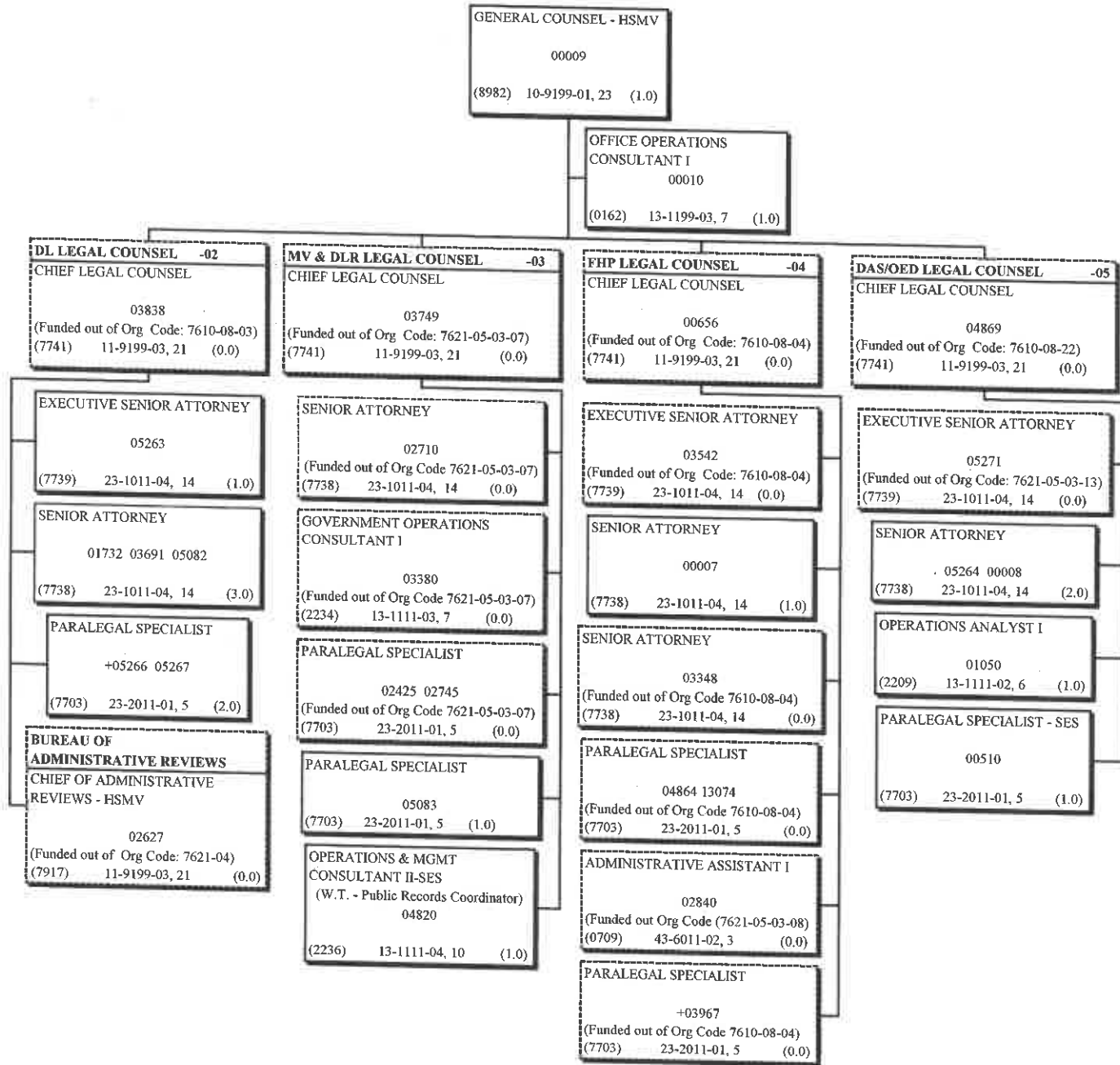
DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF THE EXECUTIVE DIRECTOR

DATE: 5/3/2016  
SEQUENCE: 7601  
OFD: *[Signature]*  
NUMBER OF POSITIONS: 9  
NUMBER OF FTE: 9.0



**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF THE EXECUTIVE DIRECTOR  
LEGAL**

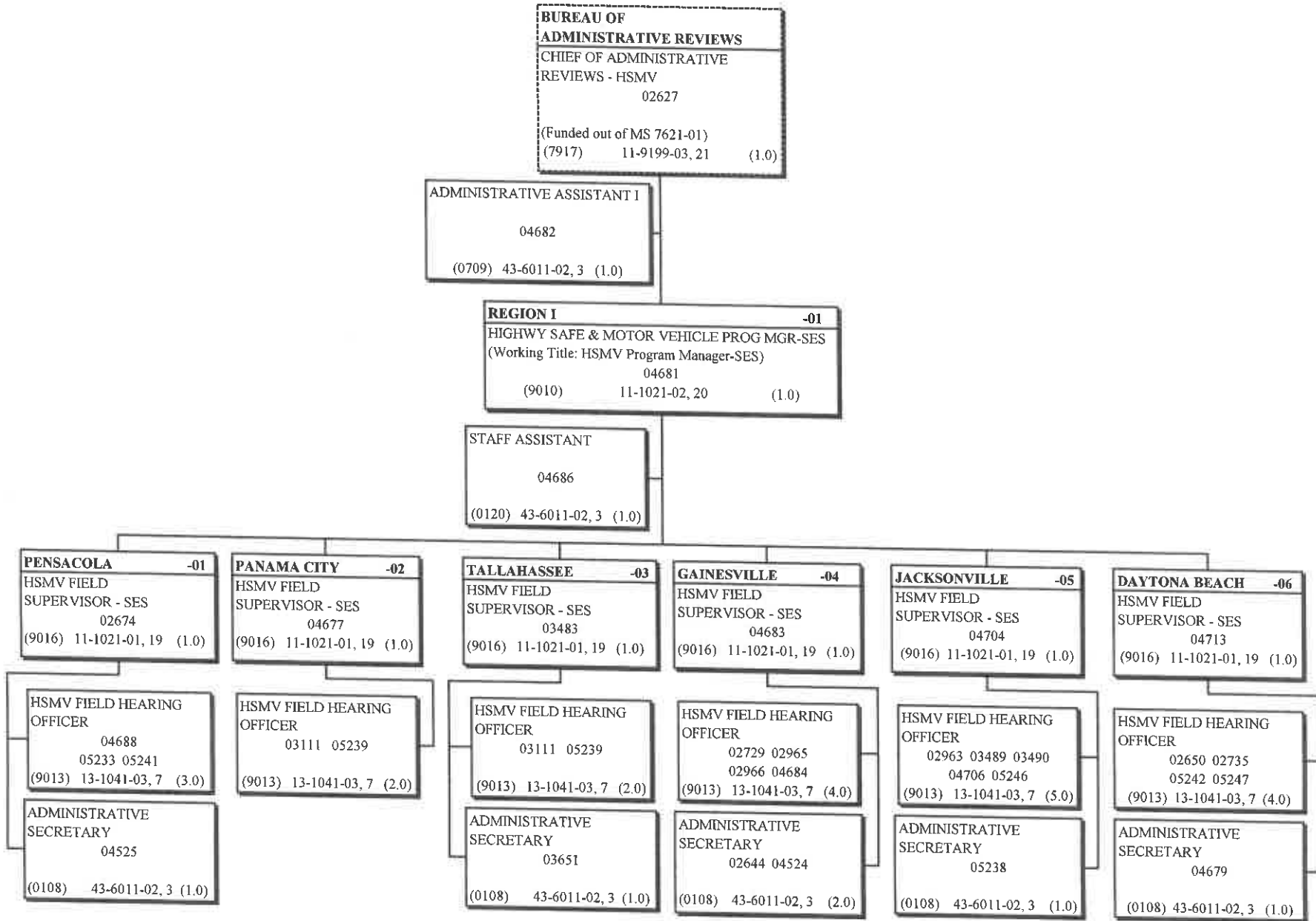
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OED: *[Signature]*  
NUMBER OF POSITIONS: 15  
NUMBER OF FTE: 15.0



# .50 FTE +Lead Worker

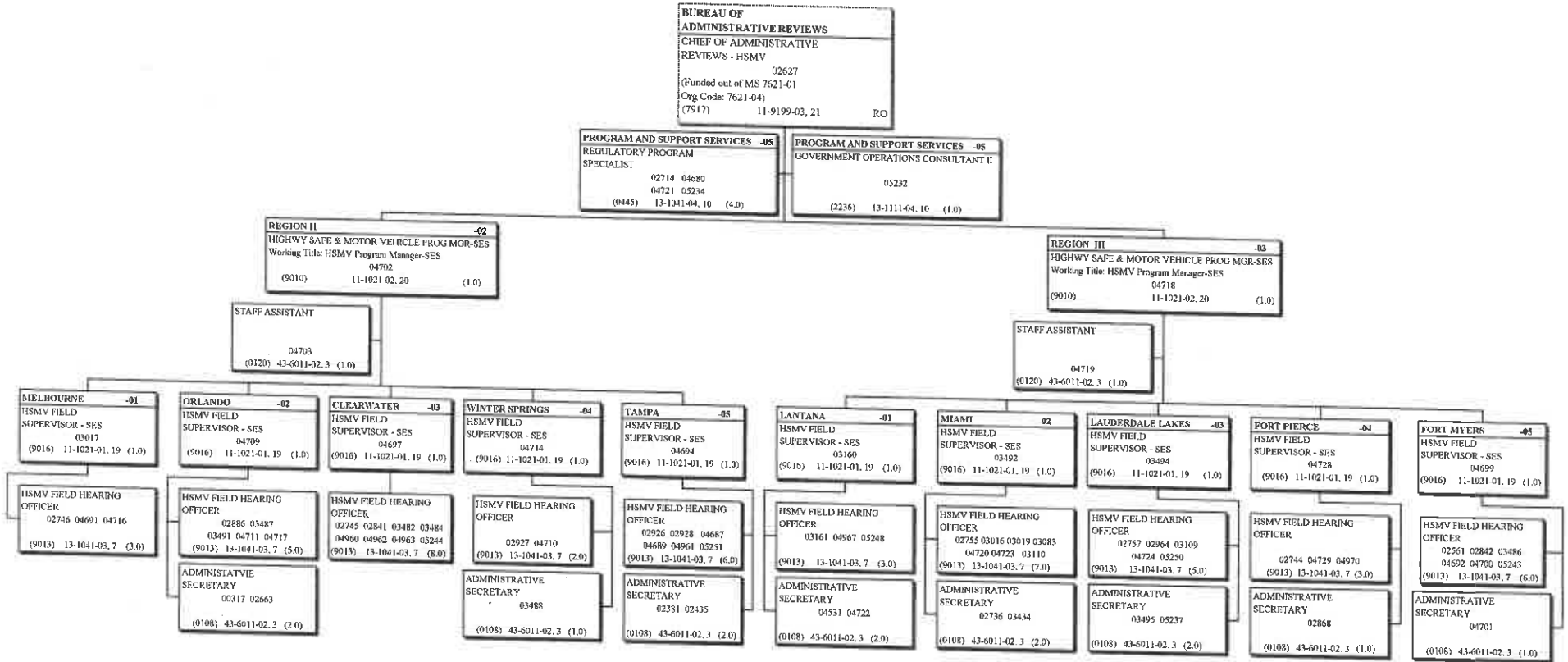
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF EXECUTIVE DIRECTOR / LEGAL  
BUREAU OF ADMINISTRATIVE REVIEWS**

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 SEQUENCE: 7621-04  
 OED: *HLC*  
 NUMBER OF POSITIONS: 36  
 NUMBER OF FTE'S: 36.0



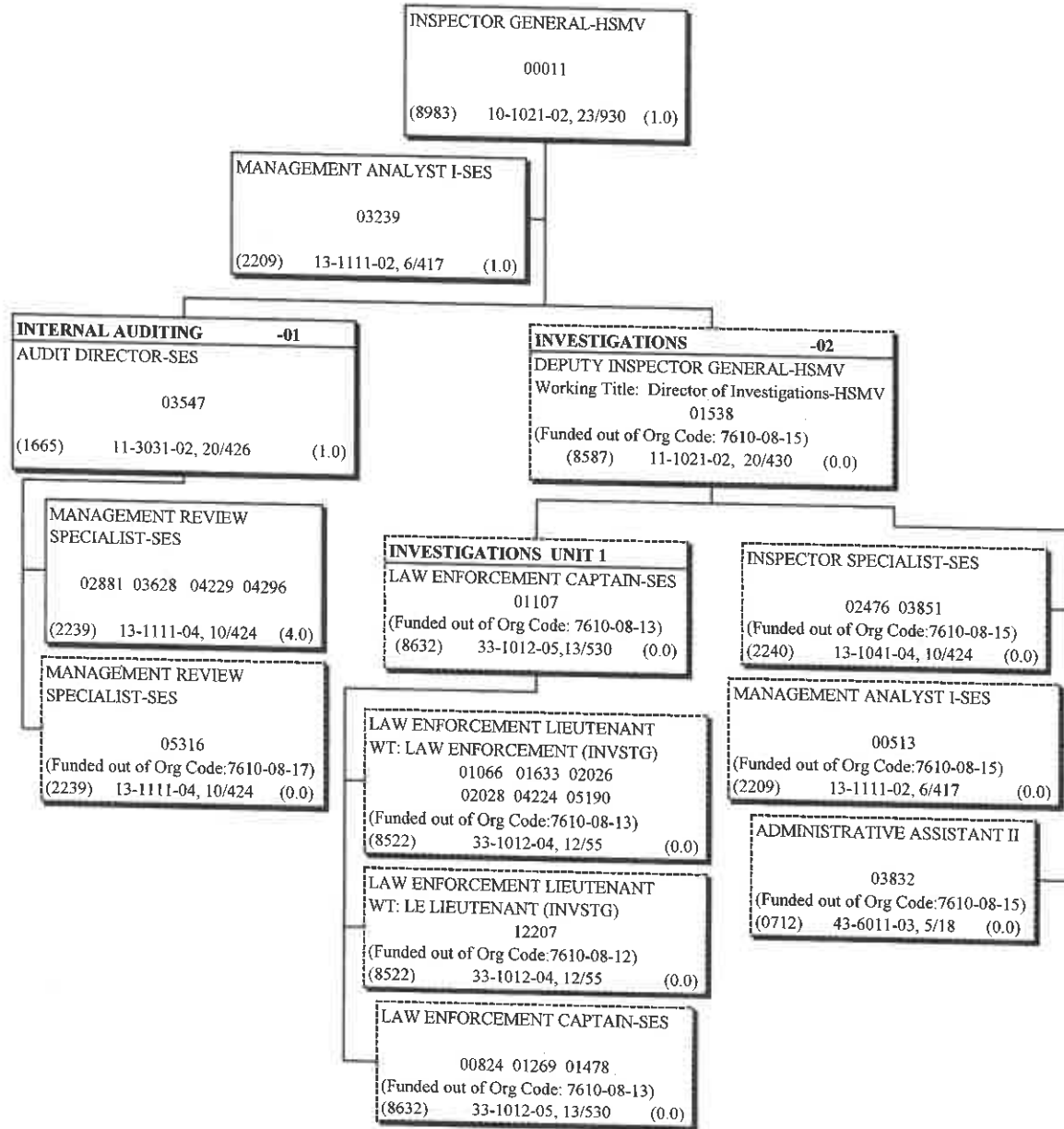
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF EXECUTIVE DIRECTOR / LEGAL  
BUREAU OF ADMINISTRATIVE REVIEWS**

DATE: 06/02/2016  
SEQUENCE: 7621-04  
OED: *[Signature]*  
NUMBER OF POSITIONS: 80  
NUMBER OF FTES: 80.0



**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF THE EXECUTIVE DIRECTOR  
OFFICE OF INSPECTOR GENERAL**

DATE: 06/01/2016  
 SEQUENCE: 7601-03  
 OED: *[Signature]*  
 NUMBER OF POSITIONS: 7  
 NUMBER OF FTE: 7.0



**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF THE EXECUTIVE DIRECTOR  
CHIEF OF STAFF'S OFFICE**

DATE: 3/17/2016  
 SEQUENCE: 7601  
 OED: *itc*  
 NUMBER OF POSITIONS: 1  
 NUMBER OF FTE: 1.0

<b>CHIEF OF STAFF'S OFFICE -05</b>
CHIEF OF STAFF
00112
(9780) 10-1021-02, 24 (1.0)

<b>COMMUNICATIONS OFFICE -02</b>
COMMUNICATIONS DIRECTOR
03171
(9556) 10-2031-01, 23 (RO)

<b>PERFORMANCE MANAGEMENT OFFICE -03</b>
CHIEF PERFORMANCE OFFICER
00283
(8215) 10-9199-01, 23 (RO)

<b>DIVISION OF ADMINISTRATIVE SERVICES (7602)</b>
DIRECTOR OF ADMINISTRATIVE SERVICES-HSMV
00003
(9764) 10-3011-01, 23 (RO)

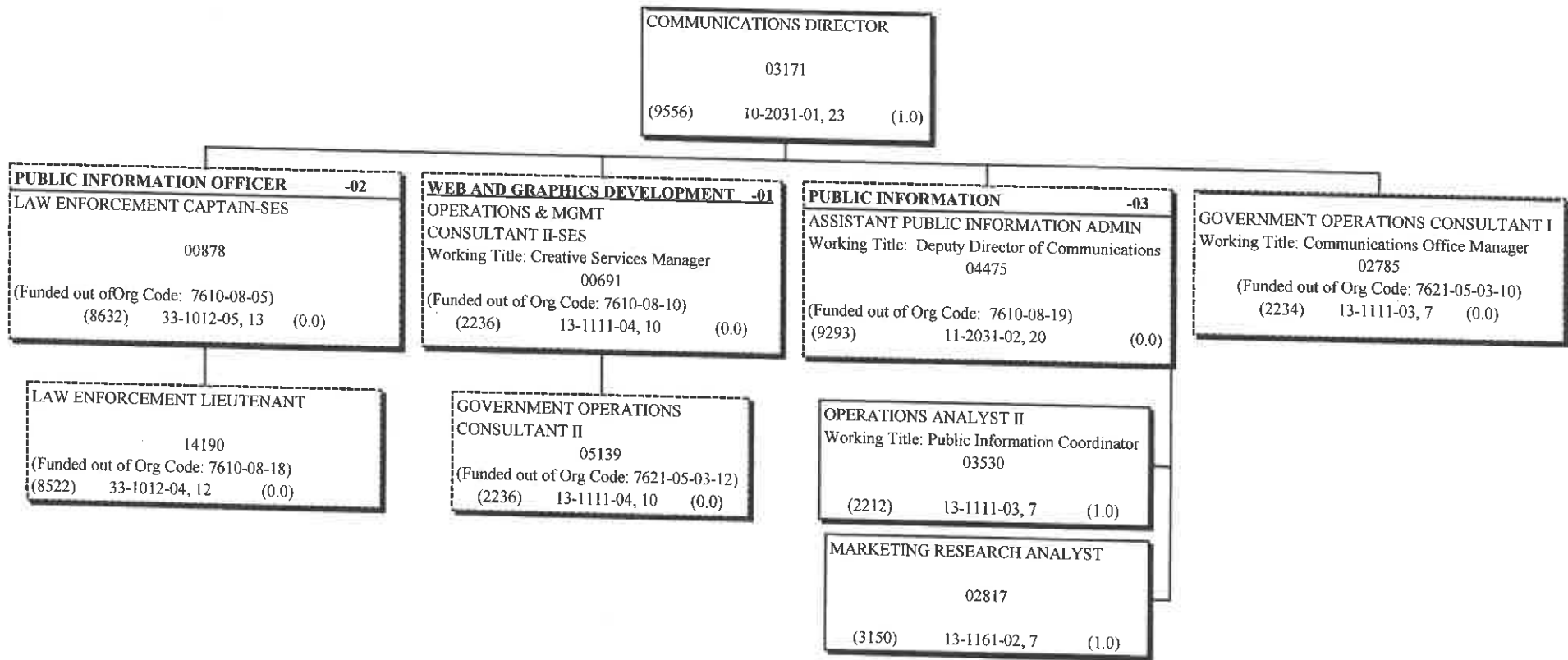
<b>BUREAU OF PERSONNEL SERVICES -01-01</b>
CHIEF OF PERSONNEL SERVICES - HSMV
00238
(9987) 11-3121-03, 21 (RO)

<b>LEARNING &amp; DEVELOPMENT OFFICE -01-02</b>
TRAINING AND RESEARCH MANAGER - SES (Working Title: Chief Learning Officer)
03966
(6004) 11-3131-02, 20 (RO)



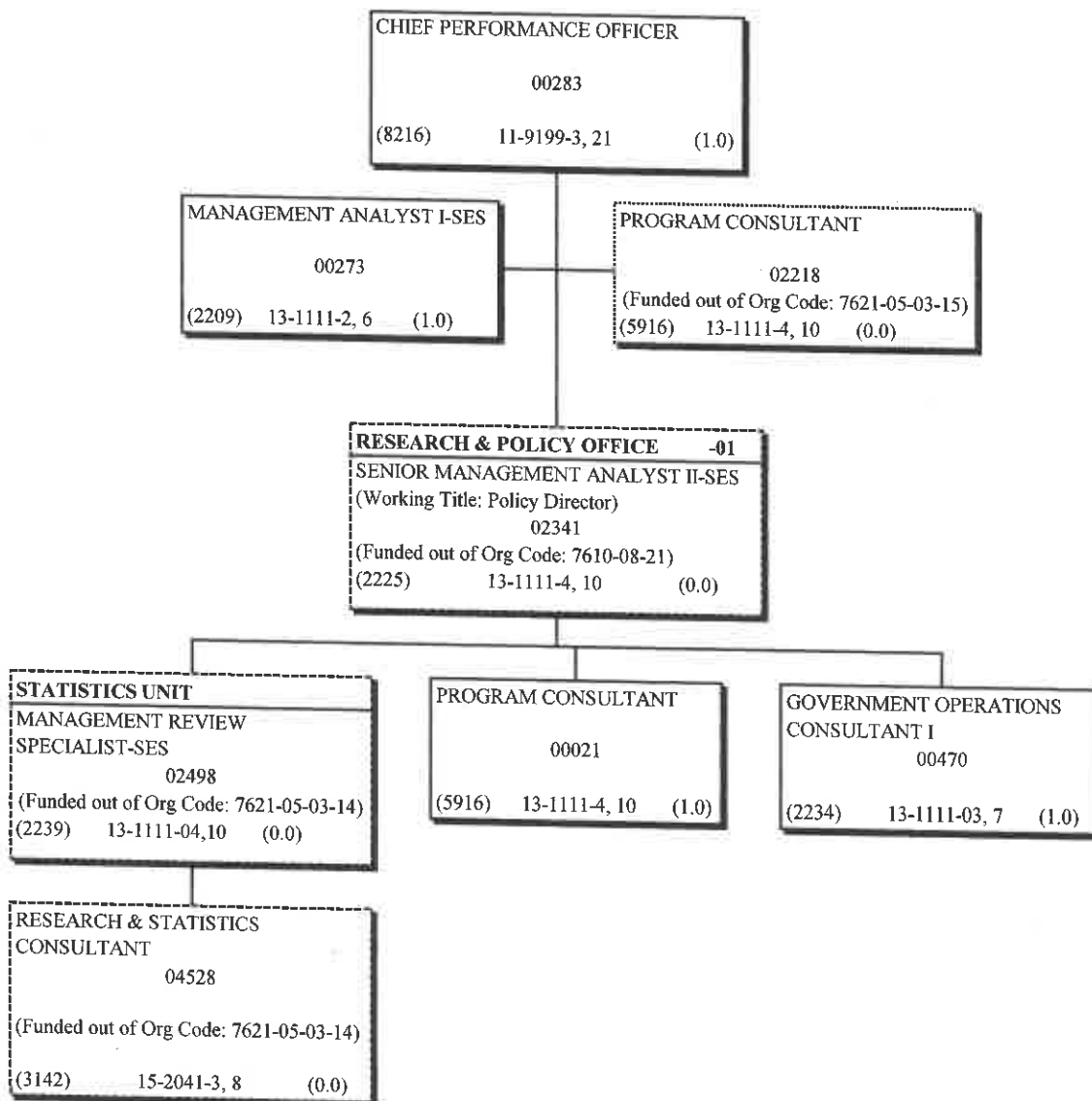
**DEPARTMENT OF HIGHWAY SAFETY  
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OFFICE OF THE EXECUTIVE DIRECTOR  
COMMUNICATIONS OFFICE**

DATE: 06/02/2016  
 SEQUENCE: 7601-05-02  
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 NUMBER OF POSITIONS: 3  
 NUMBER OF FTES: 3.0



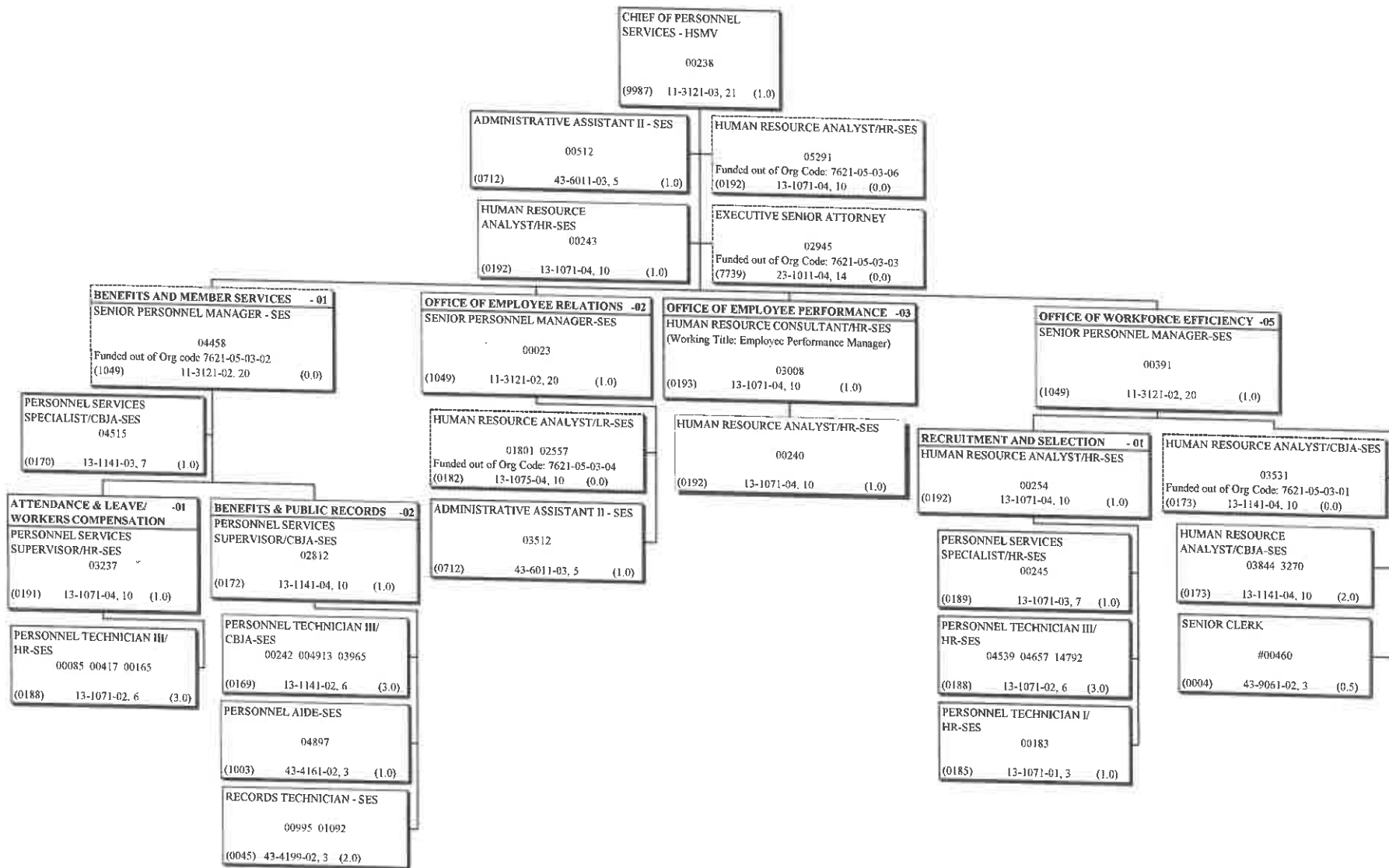
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
CHIEF OF STAFF'S OFFICE  
PERFORMANCE MANAGEMENT OFFICE**

DATE: 06/01/2016  
 SEQUENCE: 7601-05-03  
 OED: *[Signature]*  
 NUMBER OF POSITIONS 4  
 NUMBER OF FTE's : 4.0



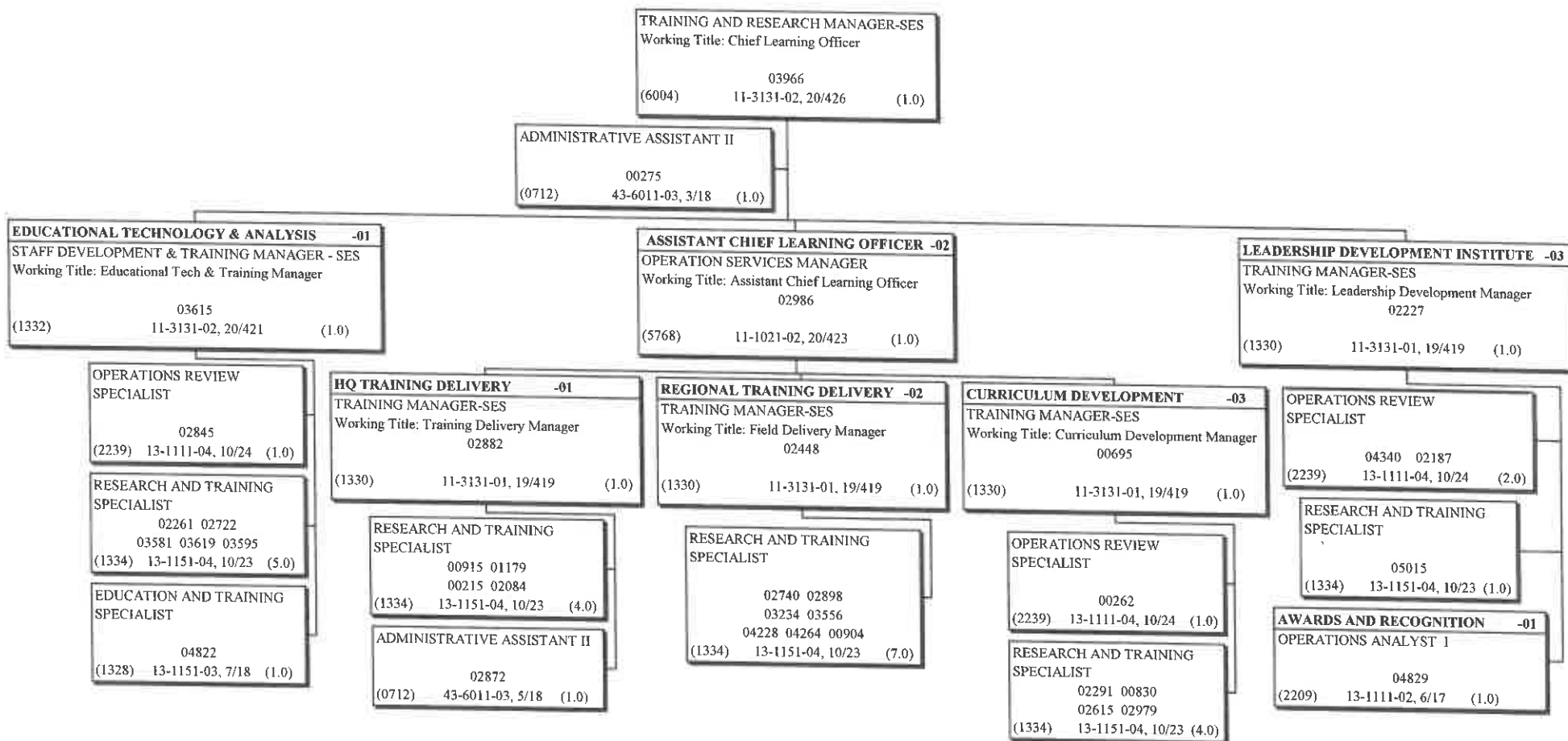
DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 CHIEF OF STAFF'S OFFICE  
 BUREAU OF PERSONNEL SERVICES

DATE: 06/02/2016  
 SEQUENCE: 7601-05-01-01  
 OED: [Signature]  
 NUMBER OF POSITIONS: 29  
 NUMBER OF FTE: 28.5



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
CHIEF OF STAFF'S OFFICE  
LEARNING & DEVELOPMENT OFFICE**

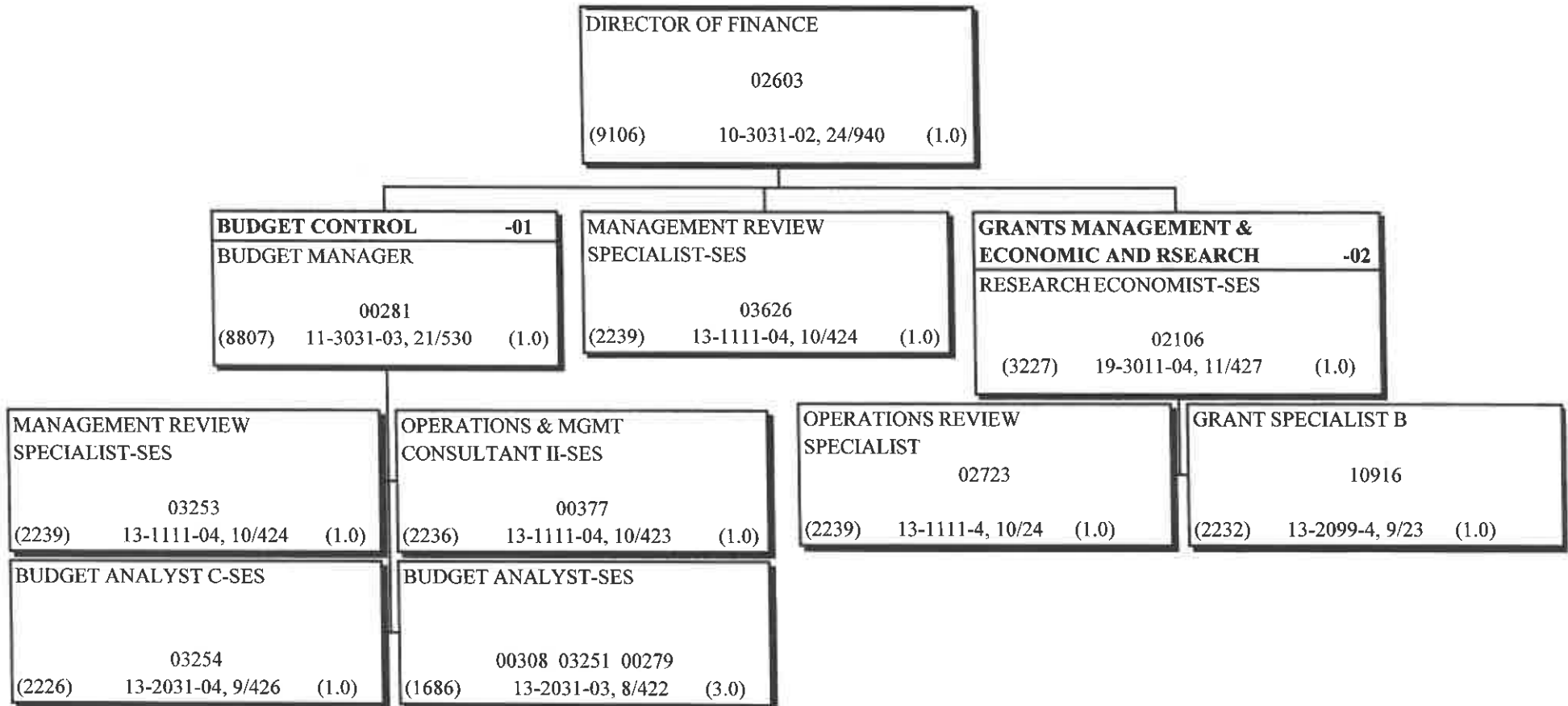
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NUMBER OF FTE: 36



\* Shared Position

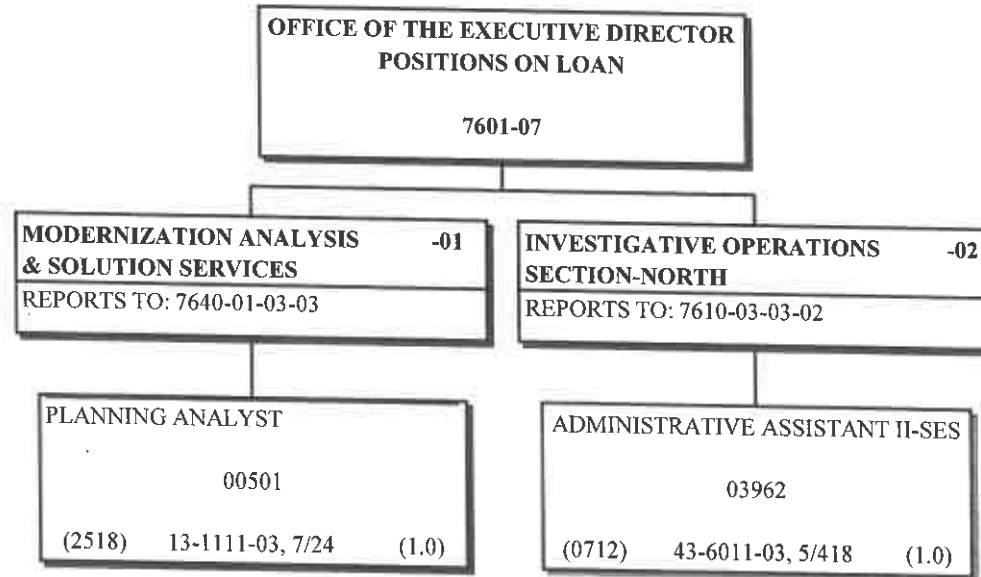
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
OFFICE OF FINANCIAL MANAGEMENT**

DATE: 07/01/2016  
 SEQUENCE: 7601-04  
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 NUMBER OF POSITIONS: 12  
 NUMBER OF FTE: 12.0



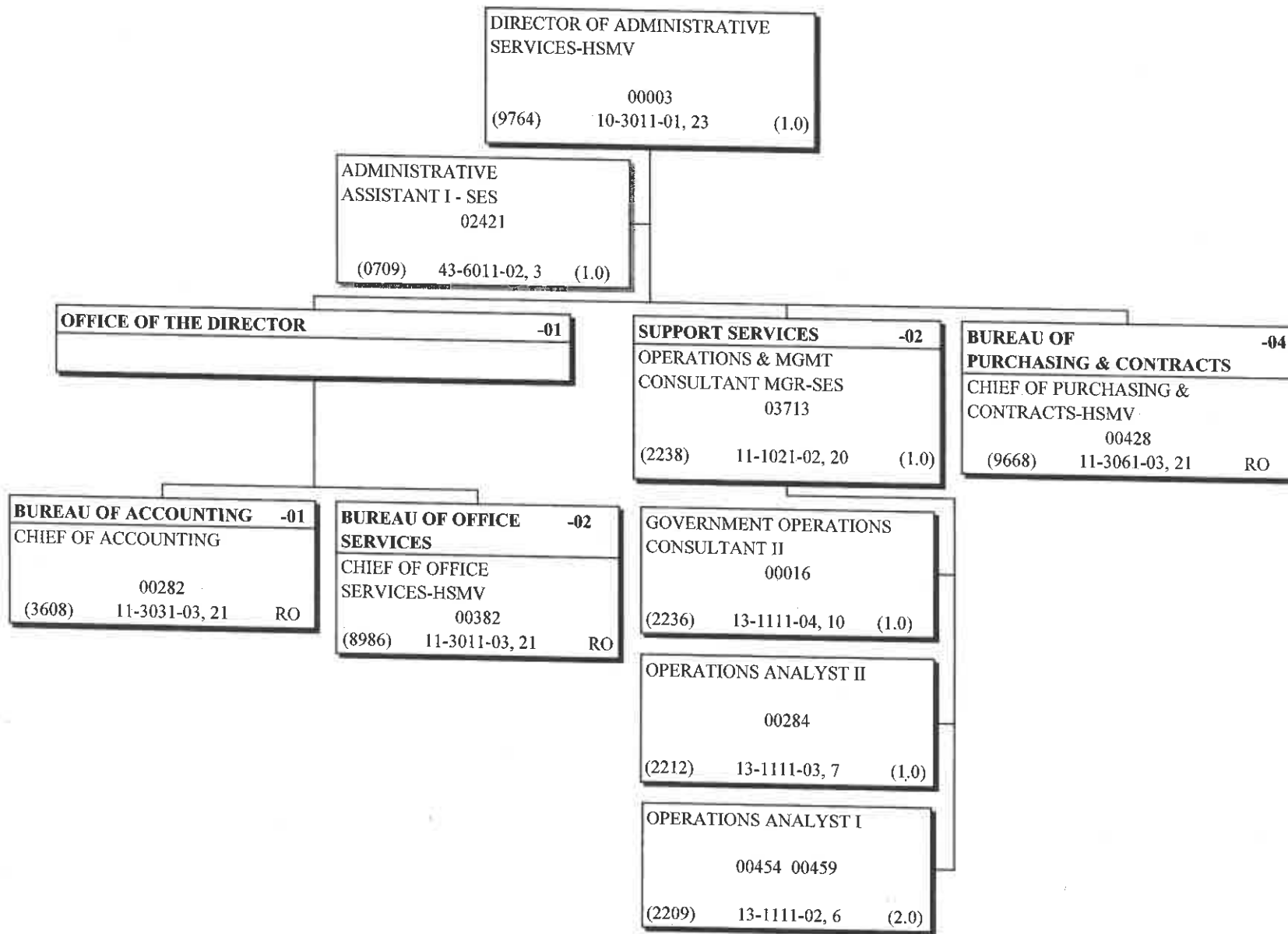
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
OFFICE OF THE EXECUTIVE DIRECTOR  
POSITIONS ON LOAN**

DATE: 07/01/2016  
 SEQUENCE: 7601-07  
 OED: 456  
 NUMBER OF POSITIONS: 2  
 NUMBER OF FTE'S: 2.0



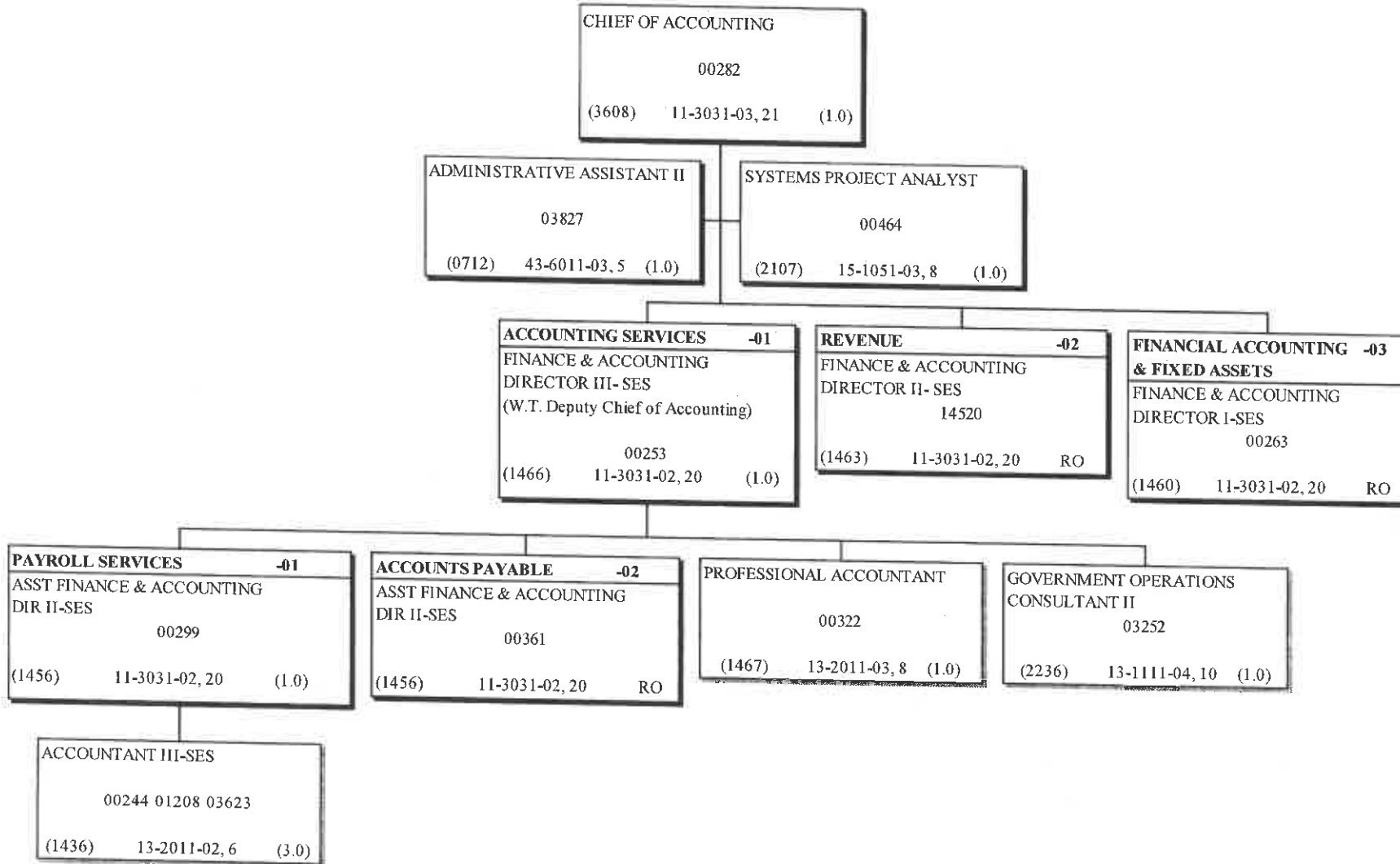
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES**

DATE: 01/14/2016  
 SEQUENCE: 7602  
 OED: APM  
 NUMBER OF POSITIONS: 7  
 NUMBER OF FTES: 7.0



**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES  
BUREAU OF ACCOUNTING**

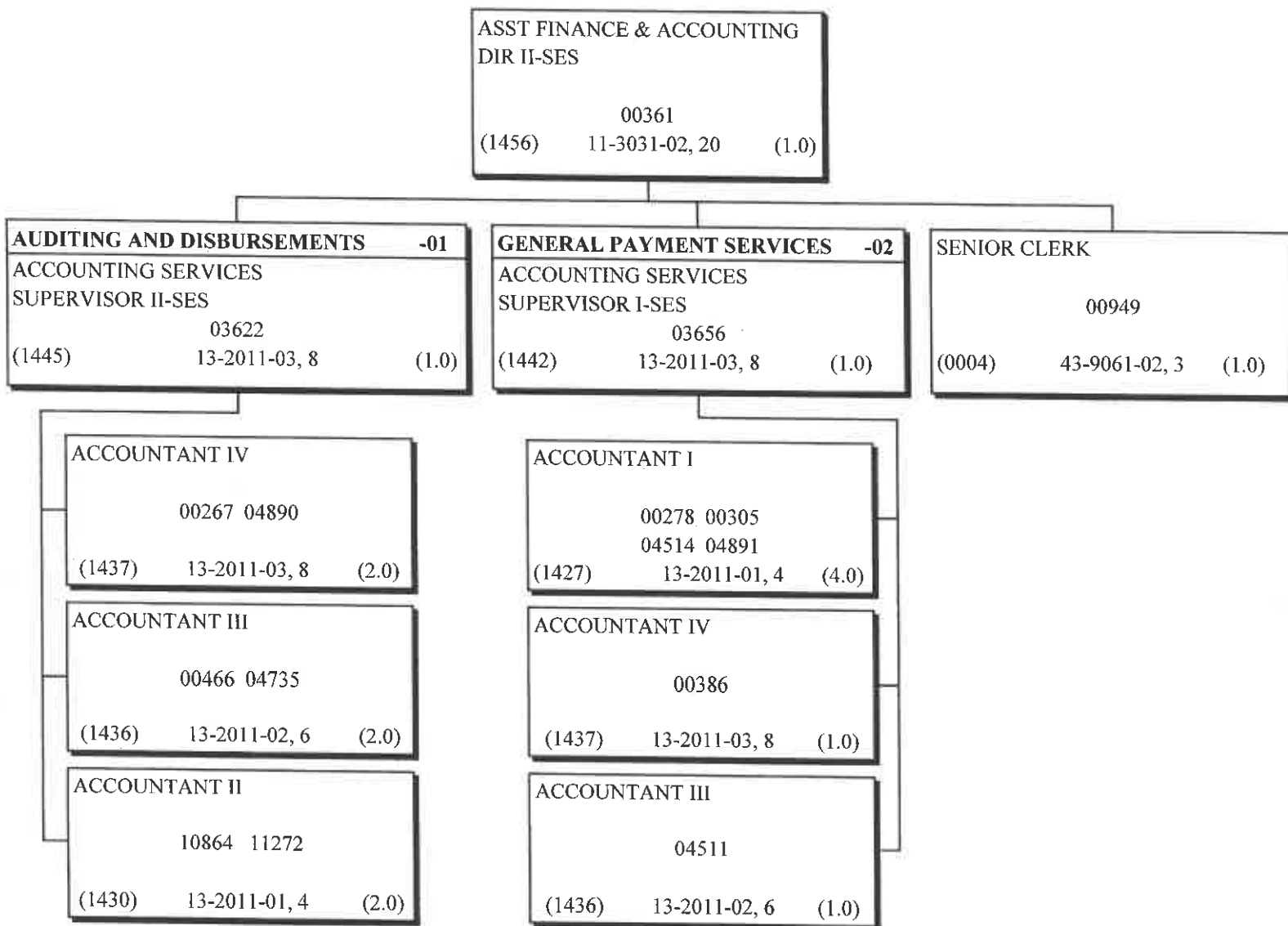
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 SEQUENCE: 7602-01-01  
 OED: *AK*  
 NUMBER OF POSITIONS: 10  
 NUMBER OF FTE'S: 10.0





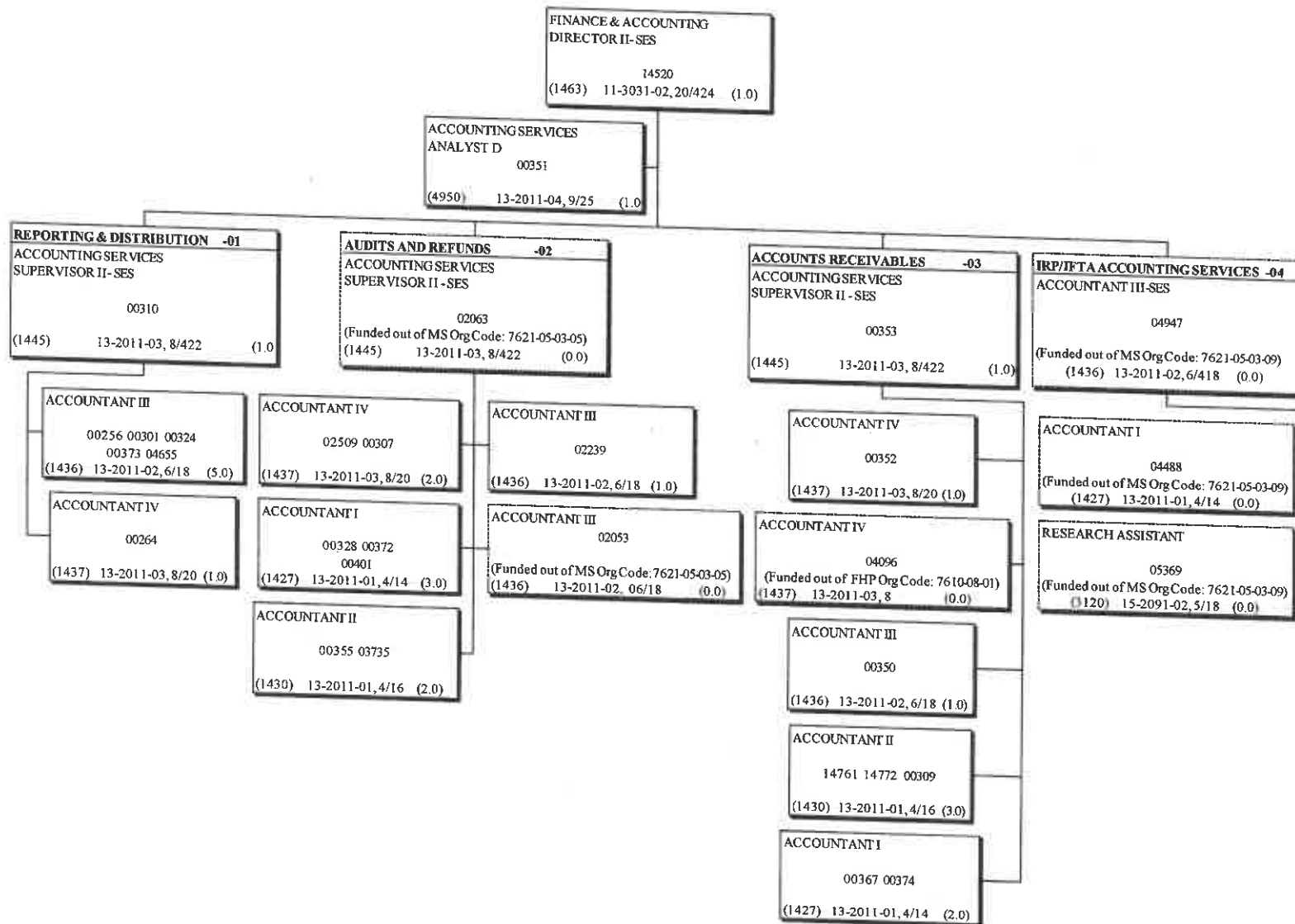
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES  
BUREAU OF ACCOUNTING/ACCOUNTING SERVICES/ACCOUNTS PAYABLE**

DATE: 3/2/2016  
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 NUMBER OF FTE'S: 16.0



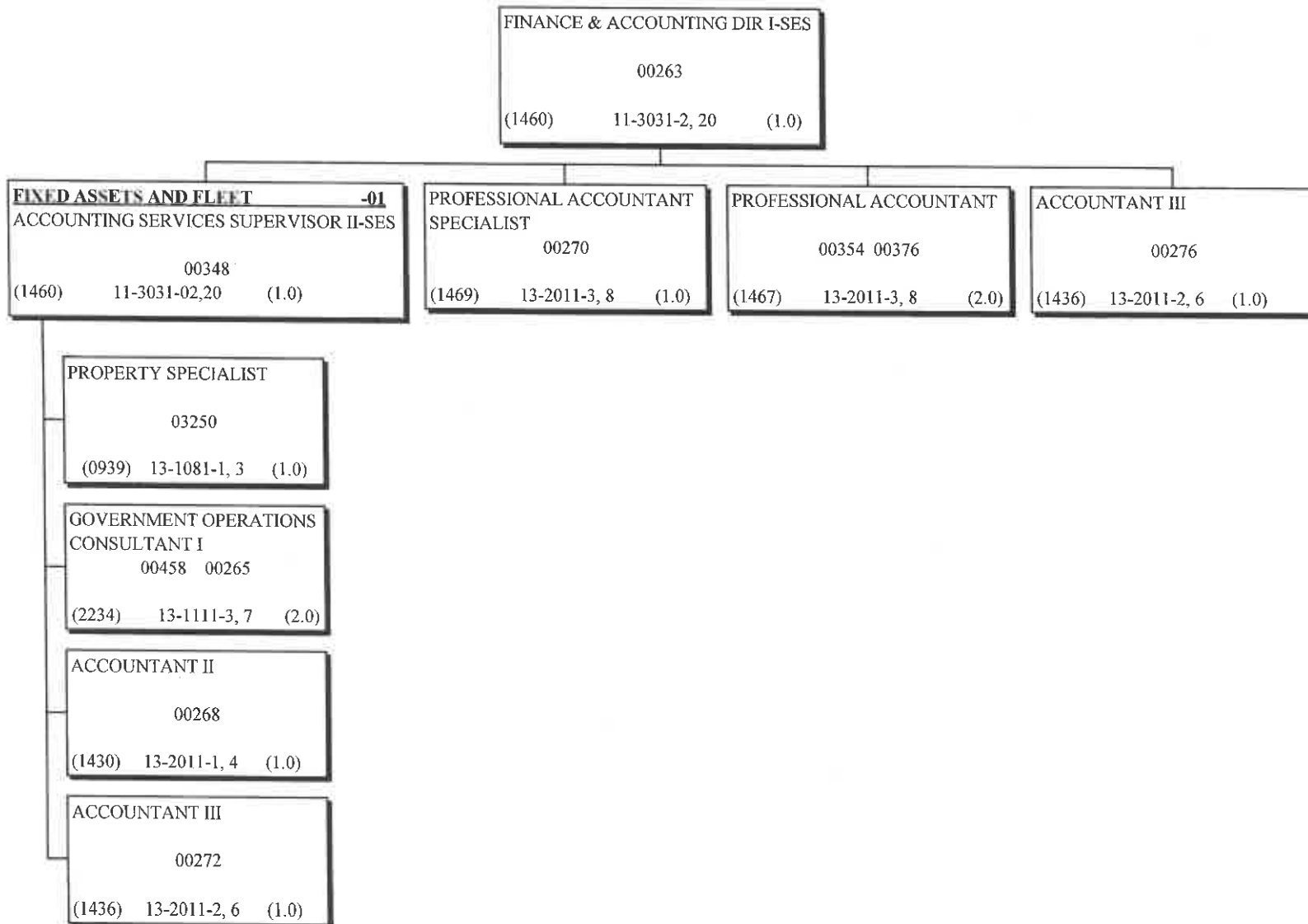
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES  
BUREAU OF ACCOUNTING  
REVENUE SECTION**

DATE: 06/01/2016  
 SEQUENCE: 1602-01-01-02  
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 NUMBER OF POSITIONS: 25  
 NUMBER OF FTE'S: 25.0



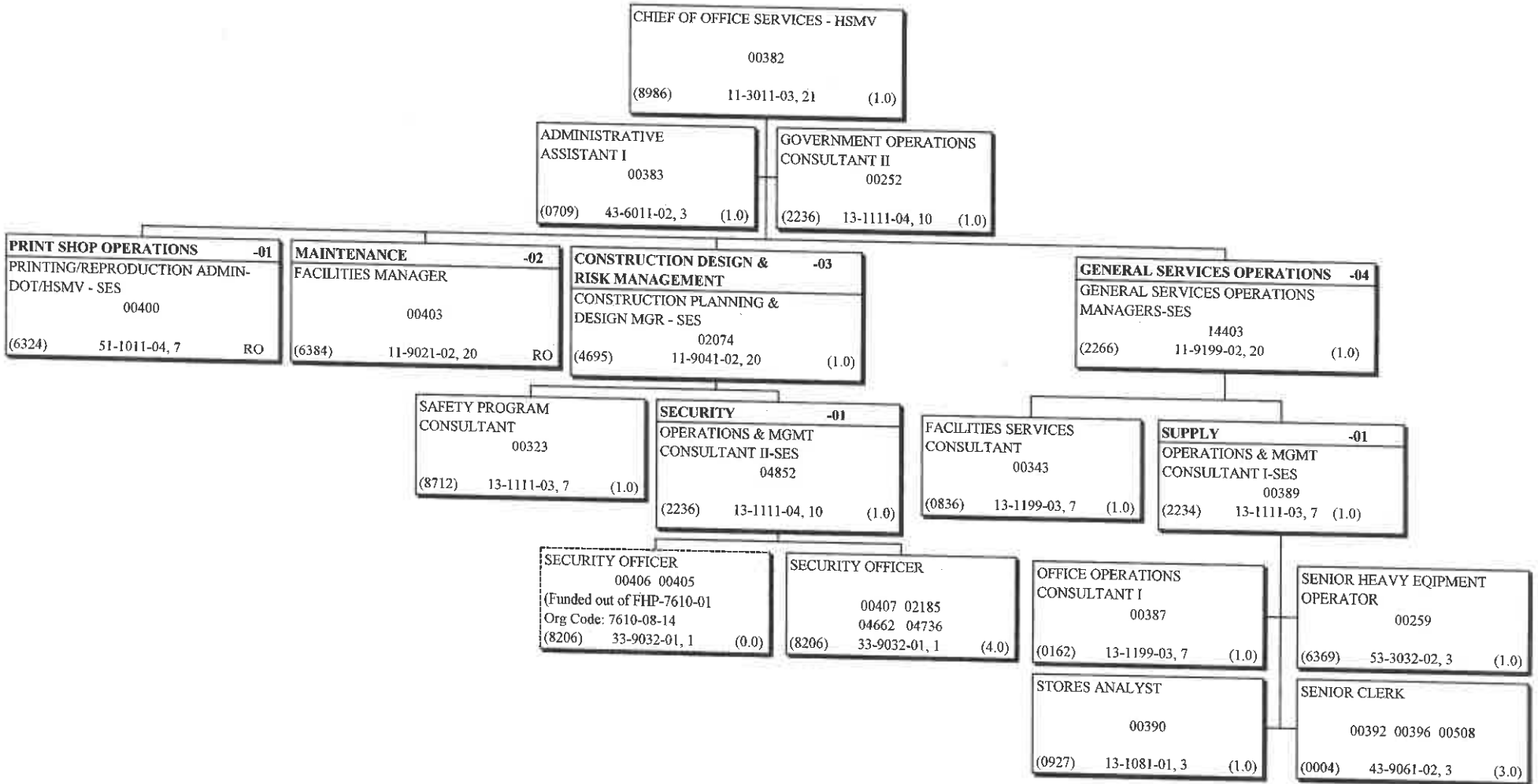
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES**  
**DIVISION OF ADMINISTRATIVE SERVICES**  
**BUREAU OF ACCOUNTING**  
**FINANCIAL ACCOUNTING & FIXED ASSETS**

DATE: 11/04/2015  
 SEQUENCE: 7602-01-01-03  
 OED: \_\_\_\_\_  
 NUMBER OF POSITIONS: 11  
 NUMBER OF FTE'S: 11.0



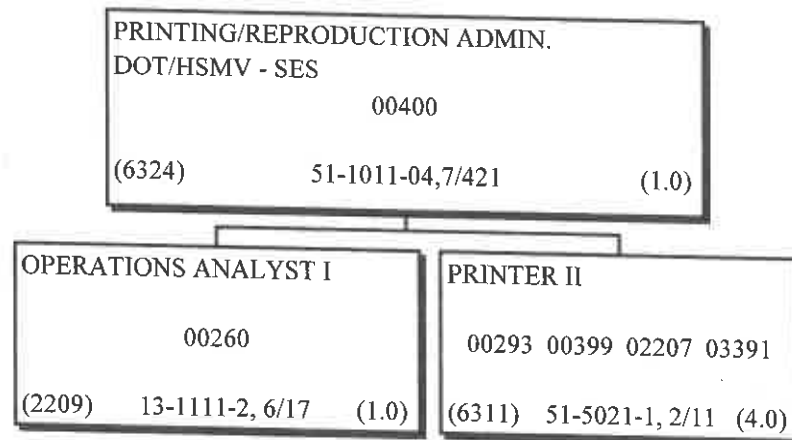
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES  
BUREAU OF OFFICE SERVICES**

DATE: 04/11/2016  
 SEQUENCE: 7602-01-02  
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 NUMBER OF POSITIONS: 19  
 NUMBER OF FTES 19.0



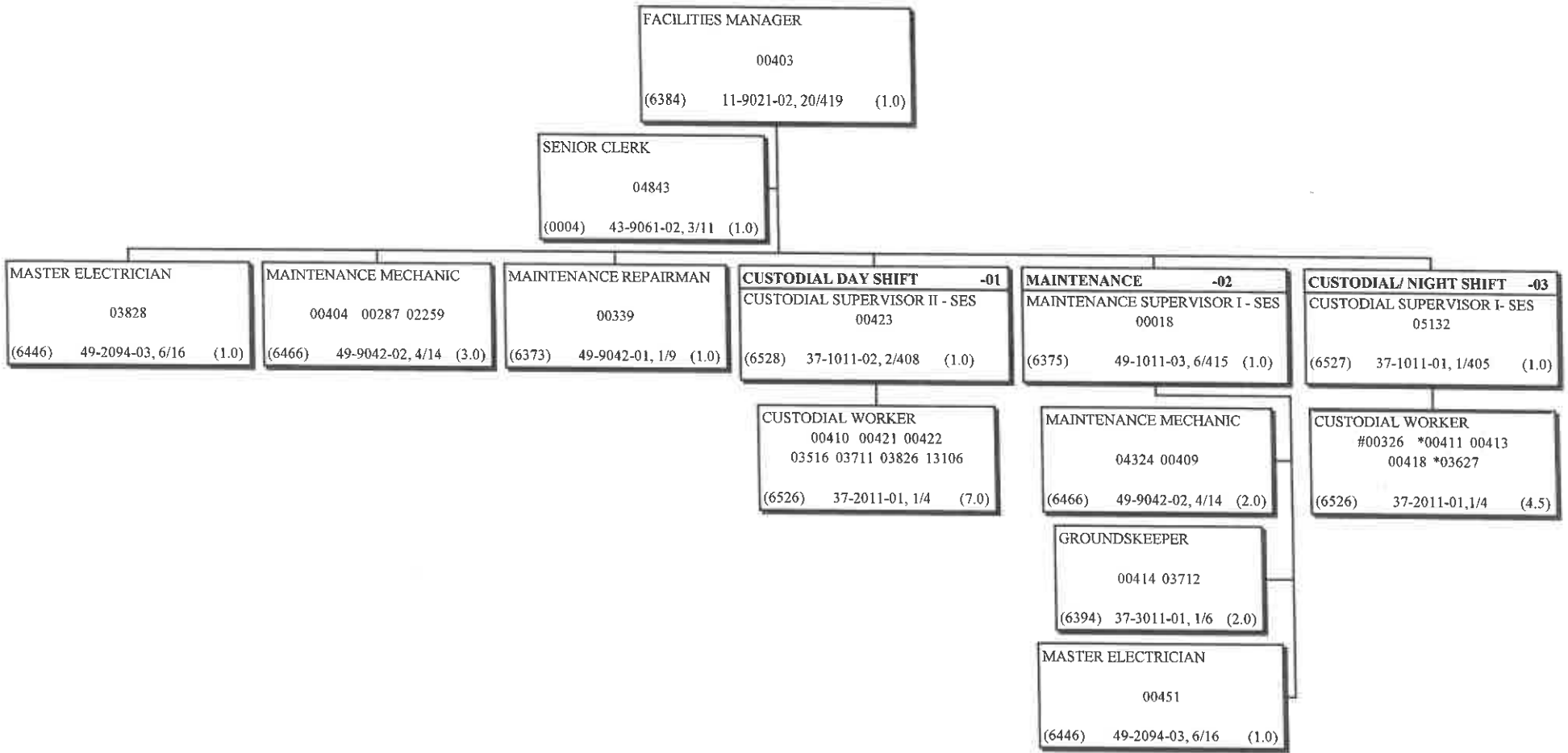
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF ADMINISTRATIVE SERVICES,  
 BUREAU OF OFFICE SERVICES  
 PRINT SHOP OPERATIONS**

DATE: 06/01/2015  
 SEQUENCE: 7602-01-02-01  
 OED: *SK*  
 NUMBER OF POSITIONS: 6  
 NUMBER OF FTE'S: 6.0



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF ADMINSTRATIVE SERVICES,  
 BUREAU OF OFFICE SERVICES  
 -MAINTENANCE-**

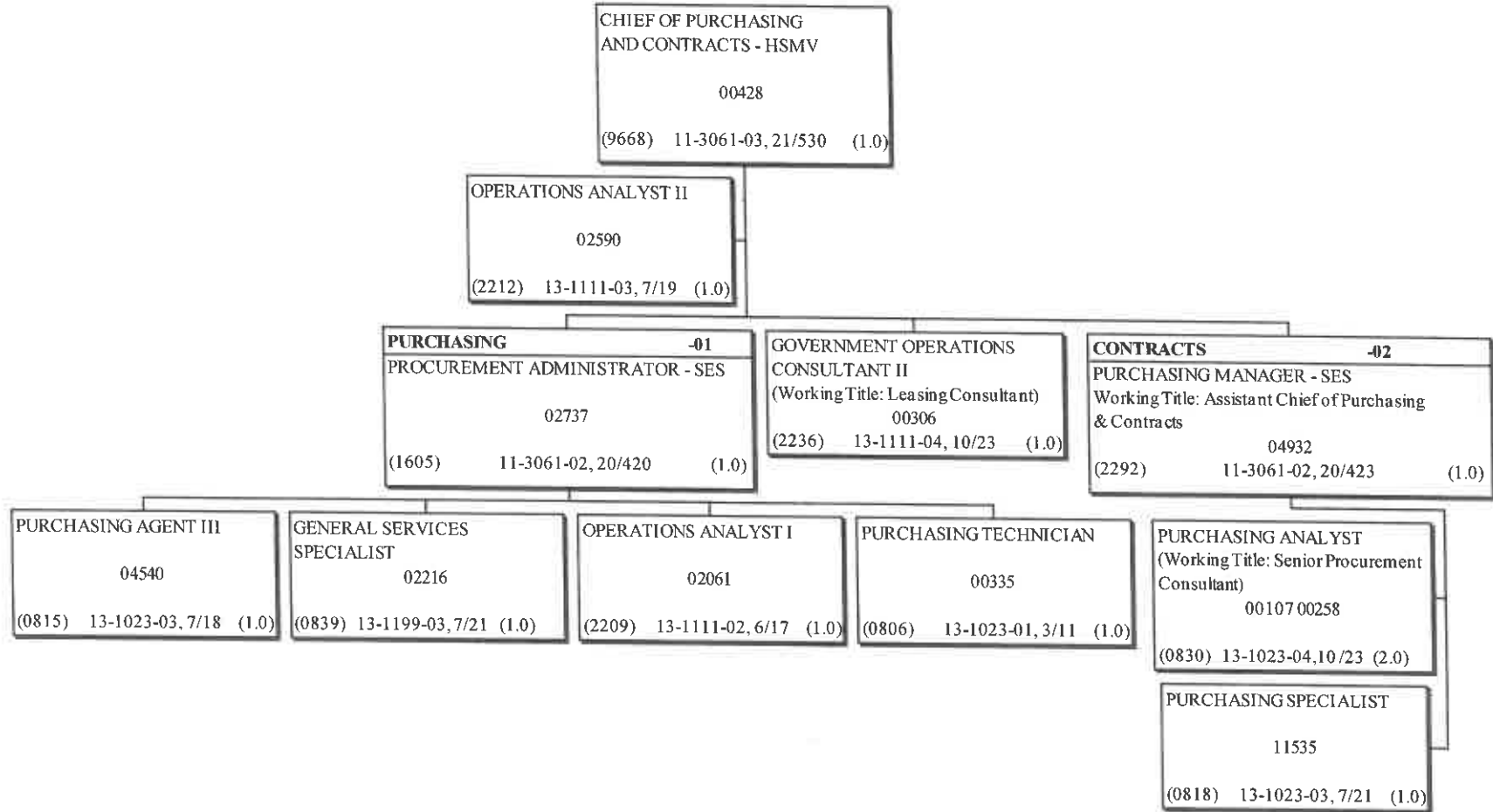
DATE: 10/09/2015  
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 NUMBER OF FTES: 26.5



\* Shared Position  
 # .50 FTE

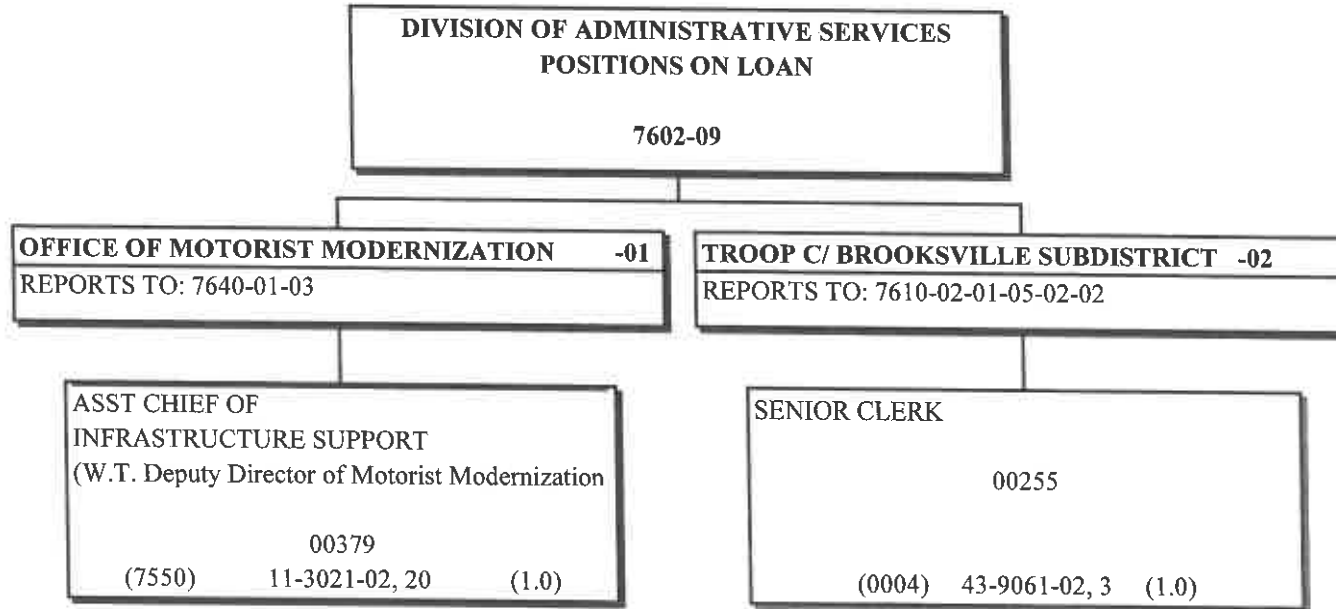
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES  
BUREAU OF PURCHASING AND CONTRACTS**

DATE: 03/04/2016  
 SEQUENCE: 7602-04  
 OED: *HC*  
 NUMBER OF POSITIONS: 12  
 NUMBER OF FTE S: 12.0



DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF ADMINISTRATIVE SERVICES  
POSITIONS ON LOAN

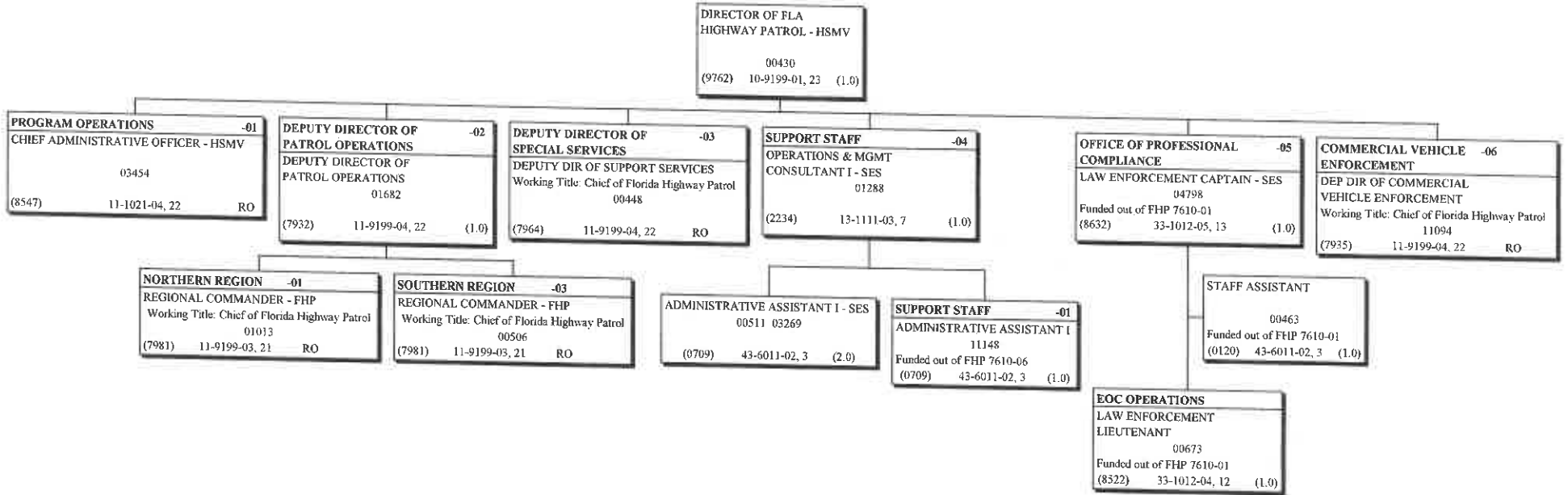
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NUMBER OF POSITIONS: 2  
NUMBER OF FTE'S: 2.0





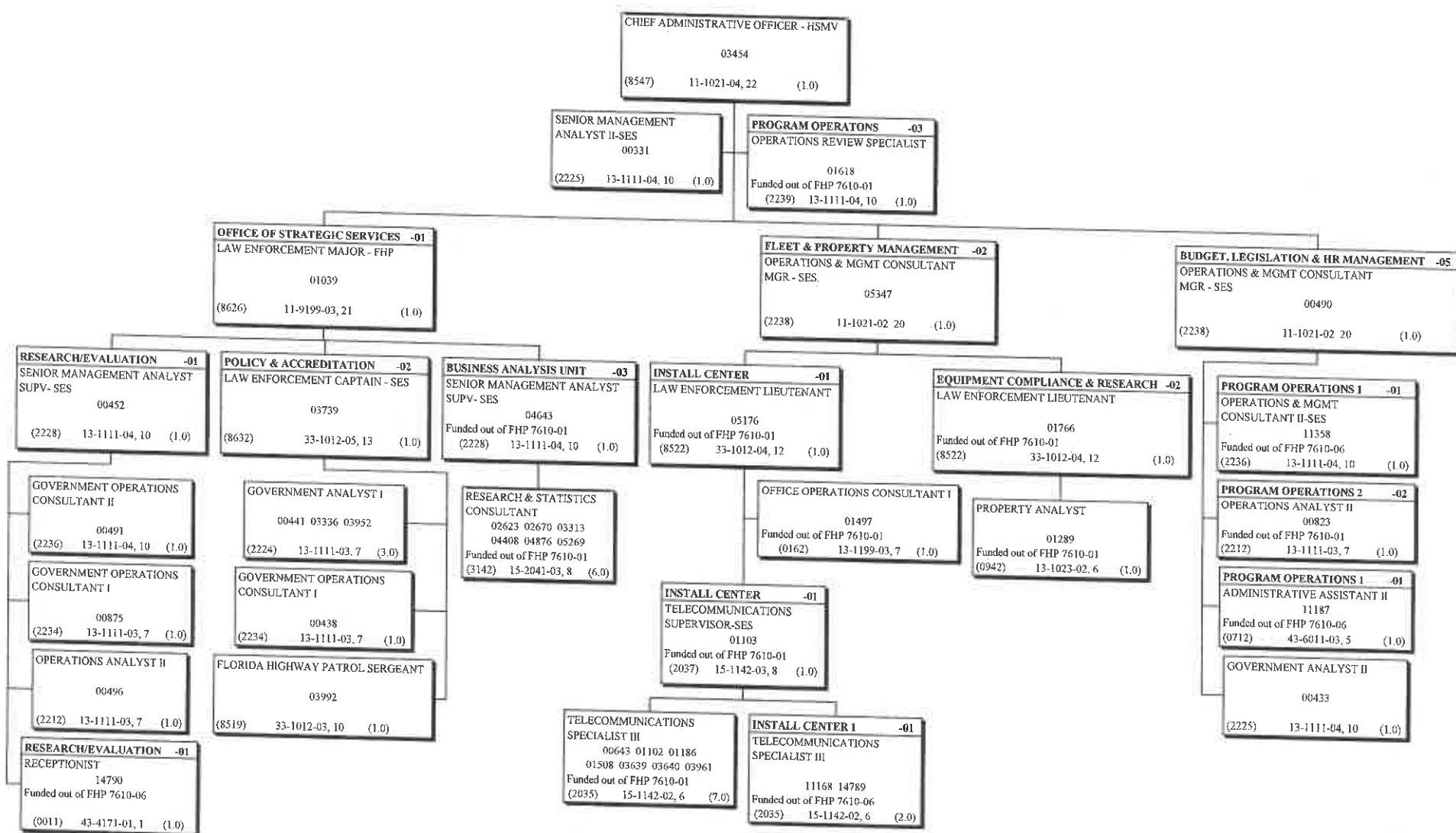
**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
OFFICE OF THE DIRECTOR**

DATE: 10/01/2015  
SEQUENCE: 7610  
OBD: *APM*  
NUMBER OF POSITIONS: 9  
NUMBER OF FTEs: 9.0



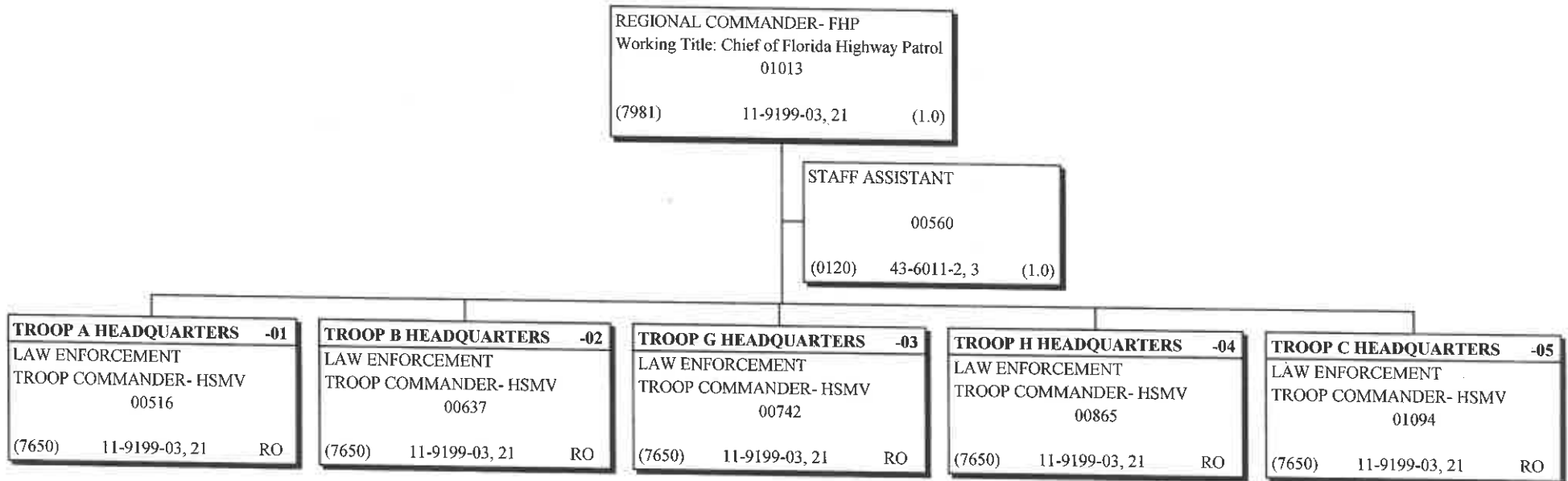
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PROGRAM OPERATIONS**

DATE: 09/01/2015  
 SEQUENC: 7610-01  
 OED: *arm*  
 NUMBER OF POSITIONS: 42  
 NUMBER OF FTE'S: 42.0



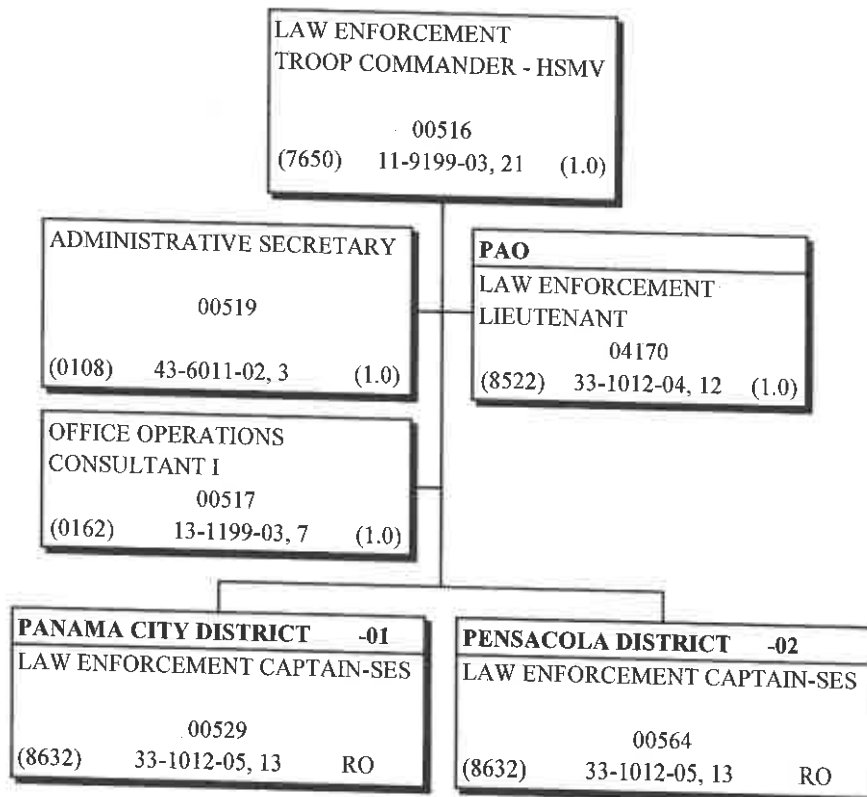
**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS, NORTHERN REGION**

DATE: 10/15/2015  
 SEQUENCE: 7610-02-01  
 OED: APM  
 NUMBER OF POSITIONS: 2  
 NUMBER OF FTES: 2.0



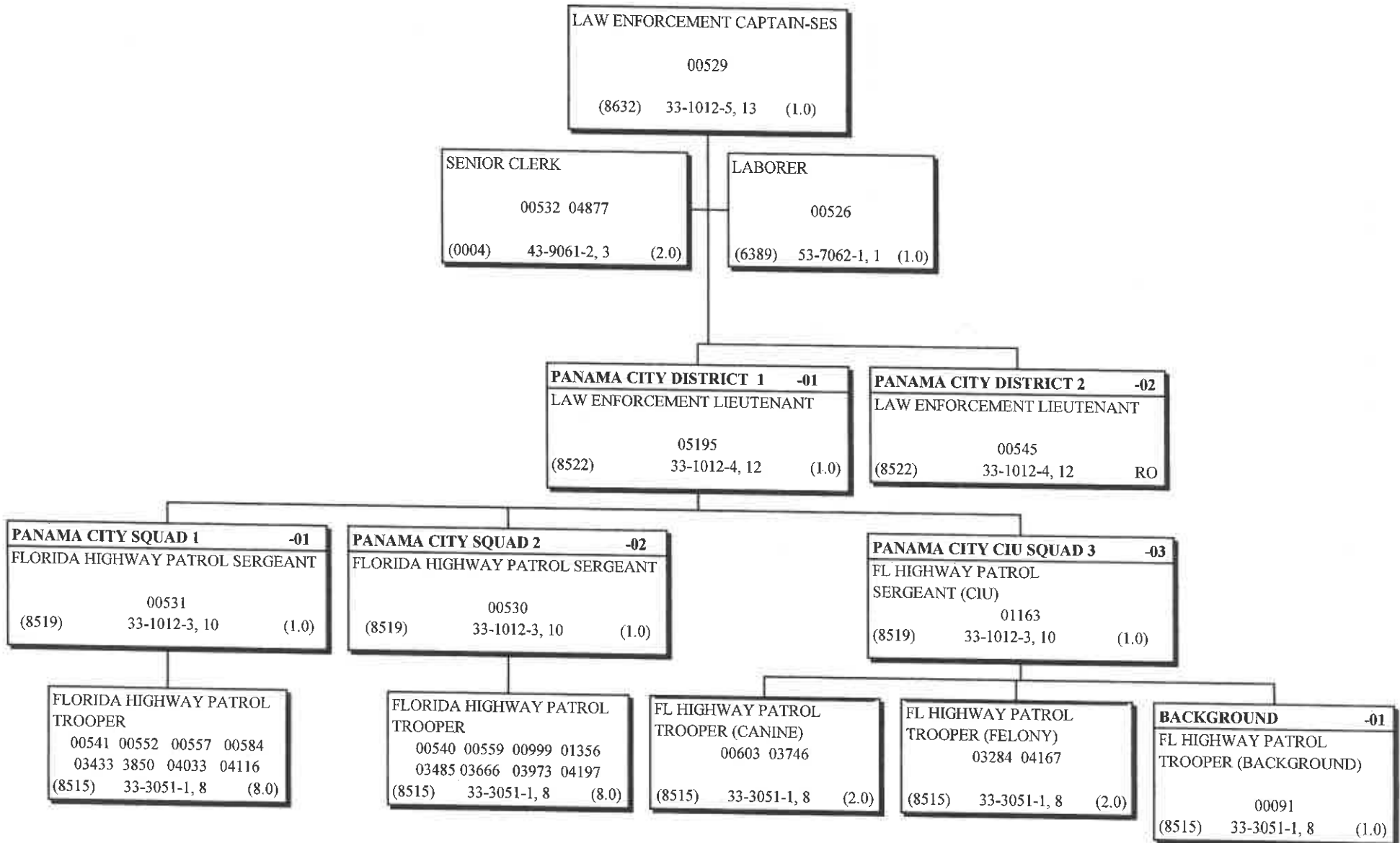
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 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP A / PANAMA CITY HEADQUARTERS**

DATE: 08/01/2014  
 SEQUENCE: 7610-02-01-01  
 OED: APM  
 NUMBER OF POSITIONS: 4  
 NUMBER OF FTE'S: 4.0



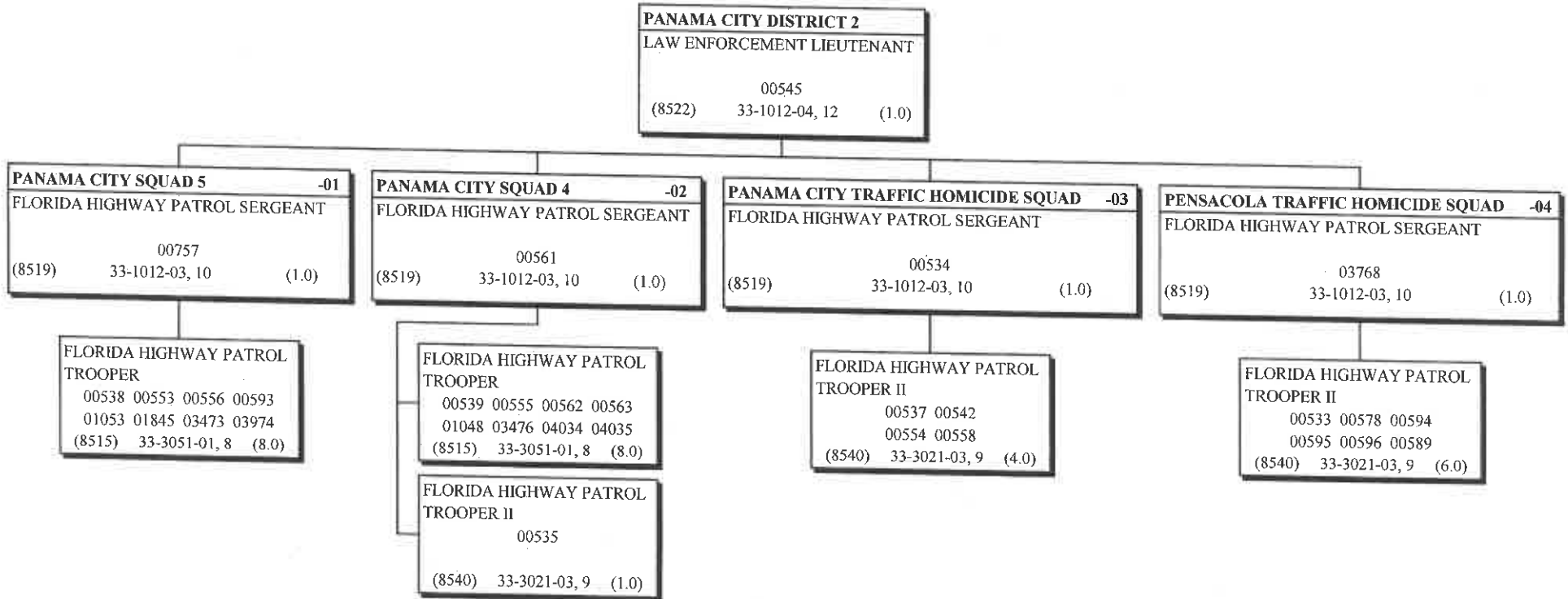
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP A / PANAMA CITY DISTRICT**

DATE: 07/01/2015  
 SEQUENCE: 7610-02-01-01-01  
 OED: APM  
 NUMBER OF POSITIONS: 29  
 NUMBER OF FTES: 29.0



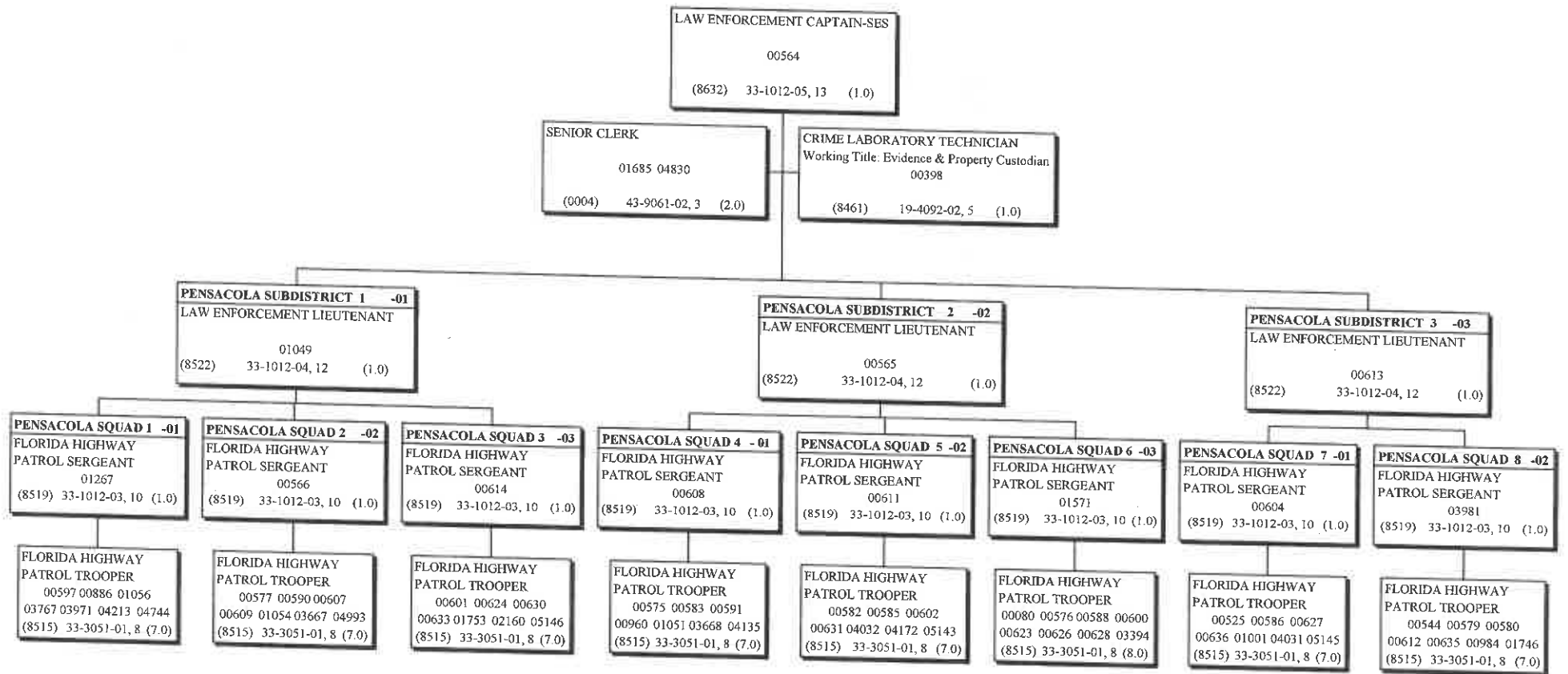
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL,  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP A / PANAMA CITY DISTRICT 2**

DATE: 03/01/2016  
 SEQUENCE: 7610-02-01-01-01-02  
 OED: APM  
 NUMBER OF POSITIONS: 32  
 NUMBER OF FTE'S: 32.0



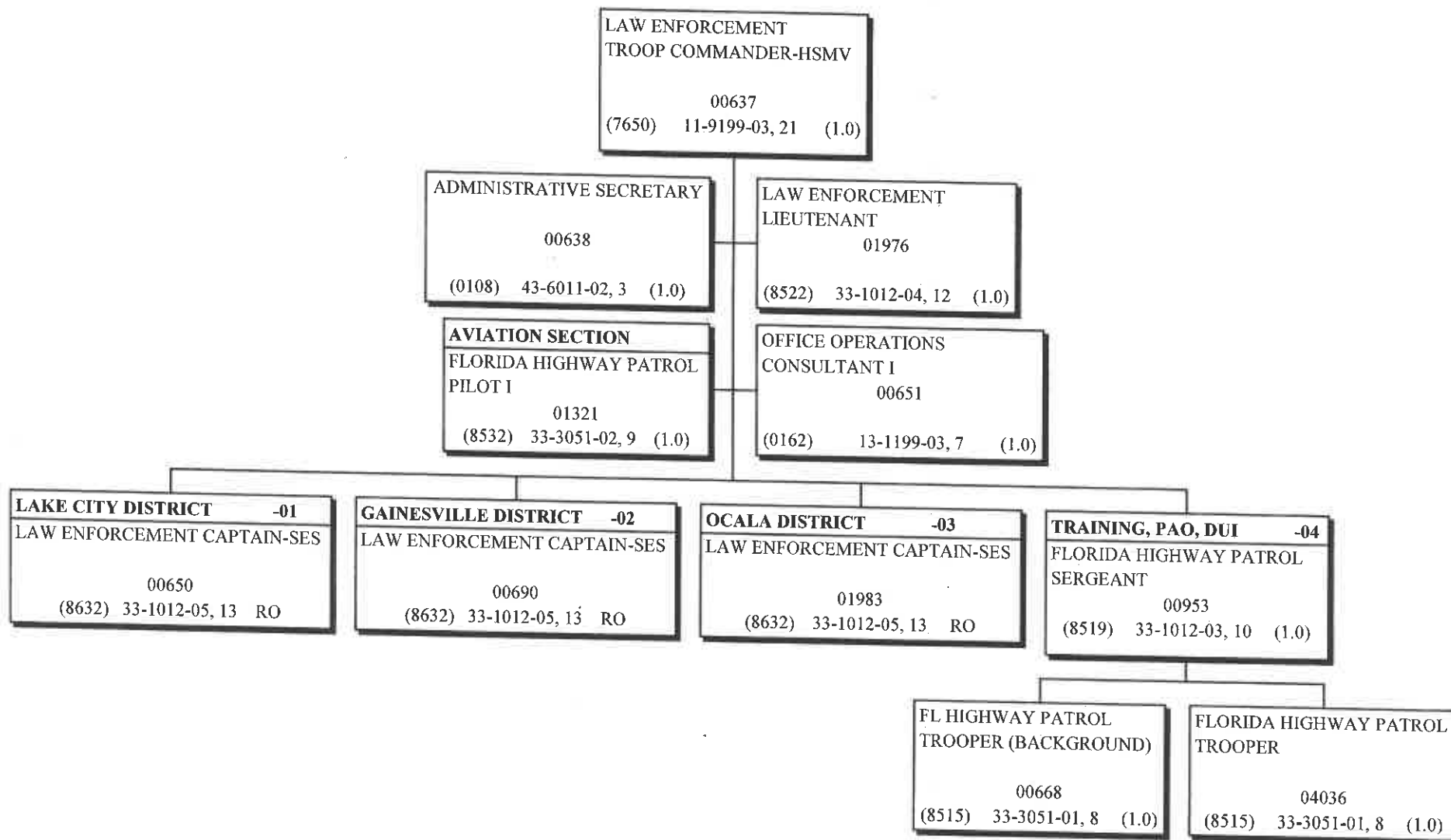
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS COMMAND, NORTHERN REGION  
TROOP A / PENSACOLA DISTRICT**

DATE: 10/15/2015  
SEQUENCE: 7/10-02-01-01-02  
OED: *APK*  
NUMBER OF POSITIONS: 72  
NUMBER OF FTES: 72.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP B / LAKE CITY HEADQUARTERS**

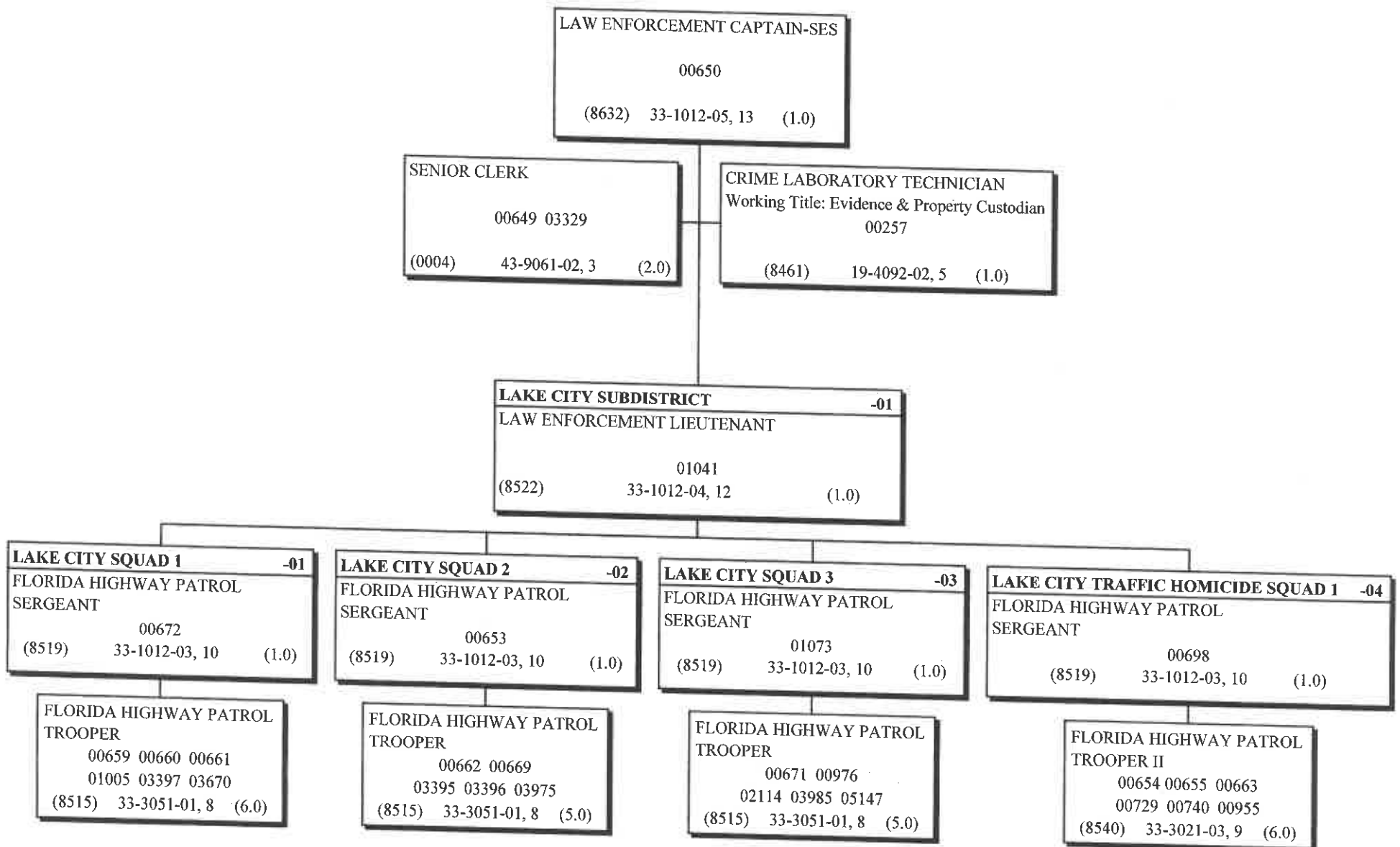
DATE: 07/01/2015  
 SEQUENCE: 7610-02-01-02  
 OED: APM  
 NUMBER OF POSITIONS: 8  
 NUMBER OF FTE'S: 8.0





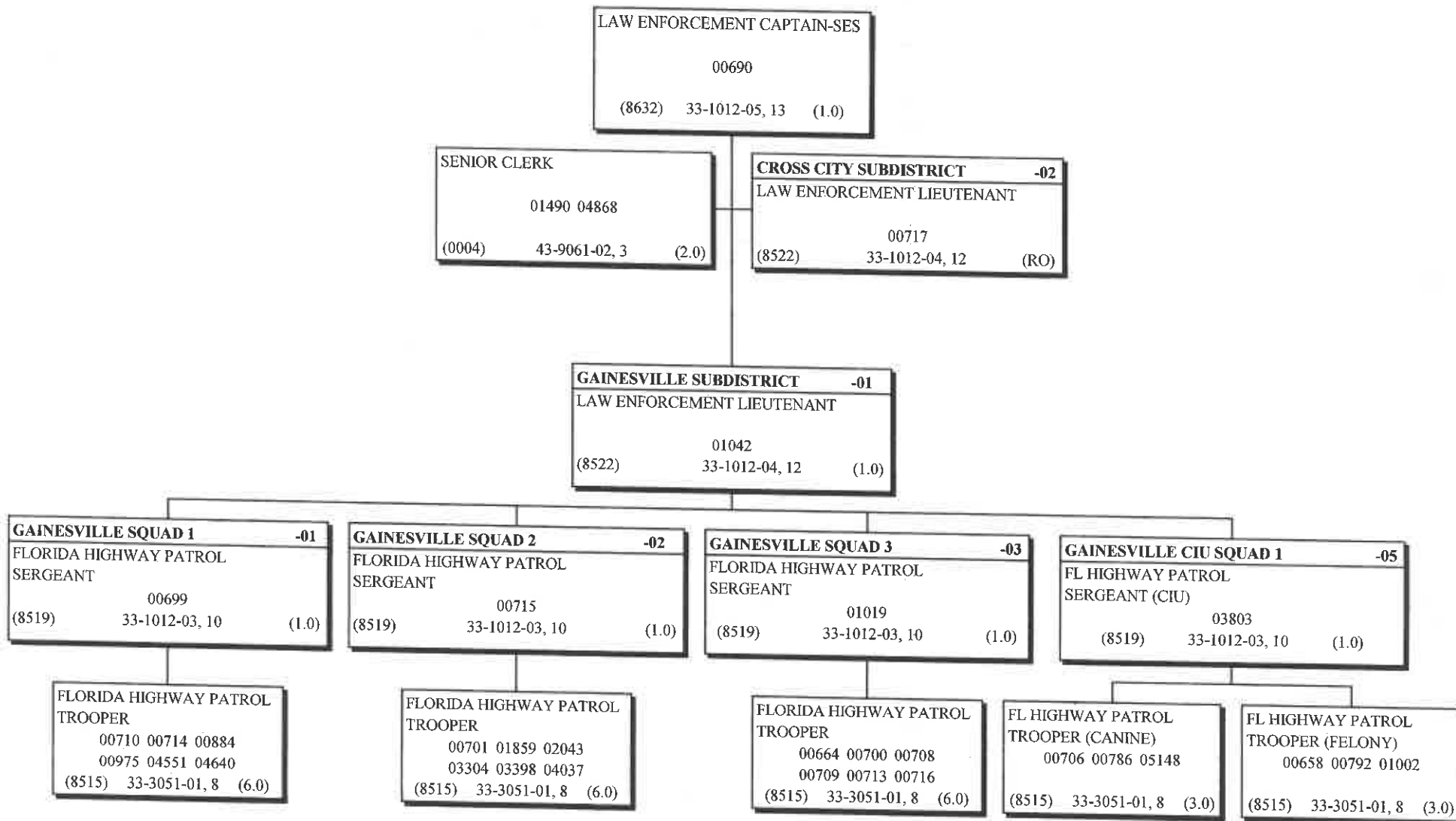
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 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP B / LAKE CITY DISTRICT**

DATE: 08/01/2014  
 SEQUENCE: 7610-02-01-02-01  
 OED: APM  
 NUMBER OF POSITIONS: 31  
 NUMBER OF FTE'S: 31.0



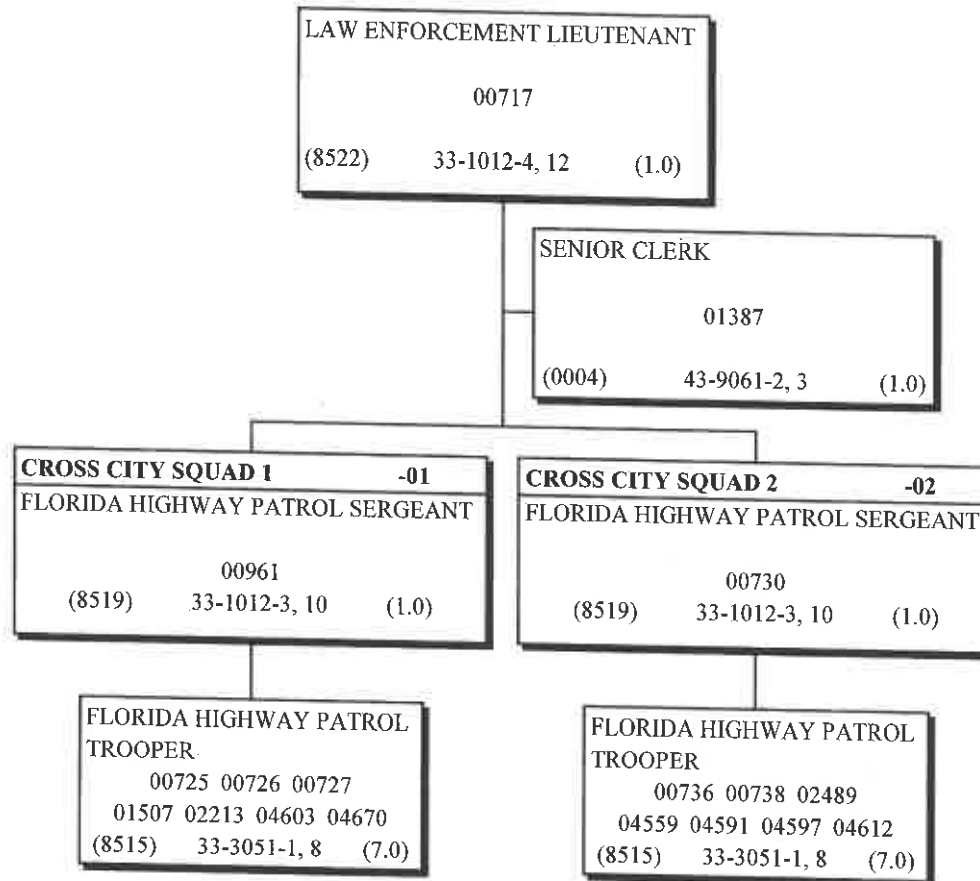
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 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP B / GAINESVILLE DISTRICT**

DATE: 07/01/2015  
 SEQUENCE: 7610-02-01-02-02  
 OED: APM  
 NUMBER OF POSITIONS: 32  
 NUMBER OF FTE'S: 32.0



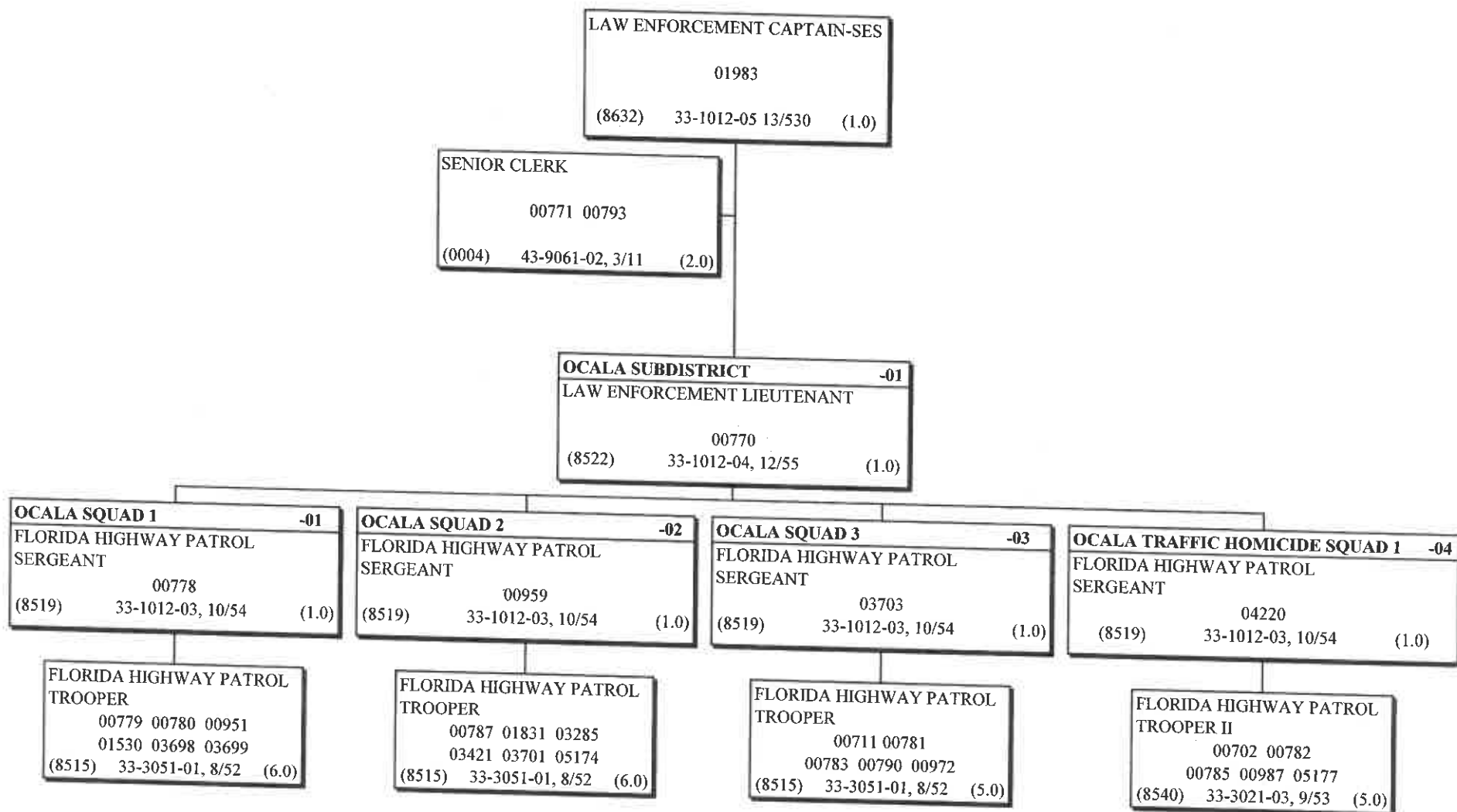
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 DIVISION OF FLORIDA HIGHWAY PATROL,  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP B / GAINESVILLE DISTRICT, CROSS CITY SUBDISTRICT**

DATE: 09/01/14  
 SEQUENCE: 7610-02-01-02-02-02  
 OED: APM  
 NUMBER OF POSITIONS: 18  
 NUMBER OF FTE'S: 18.0



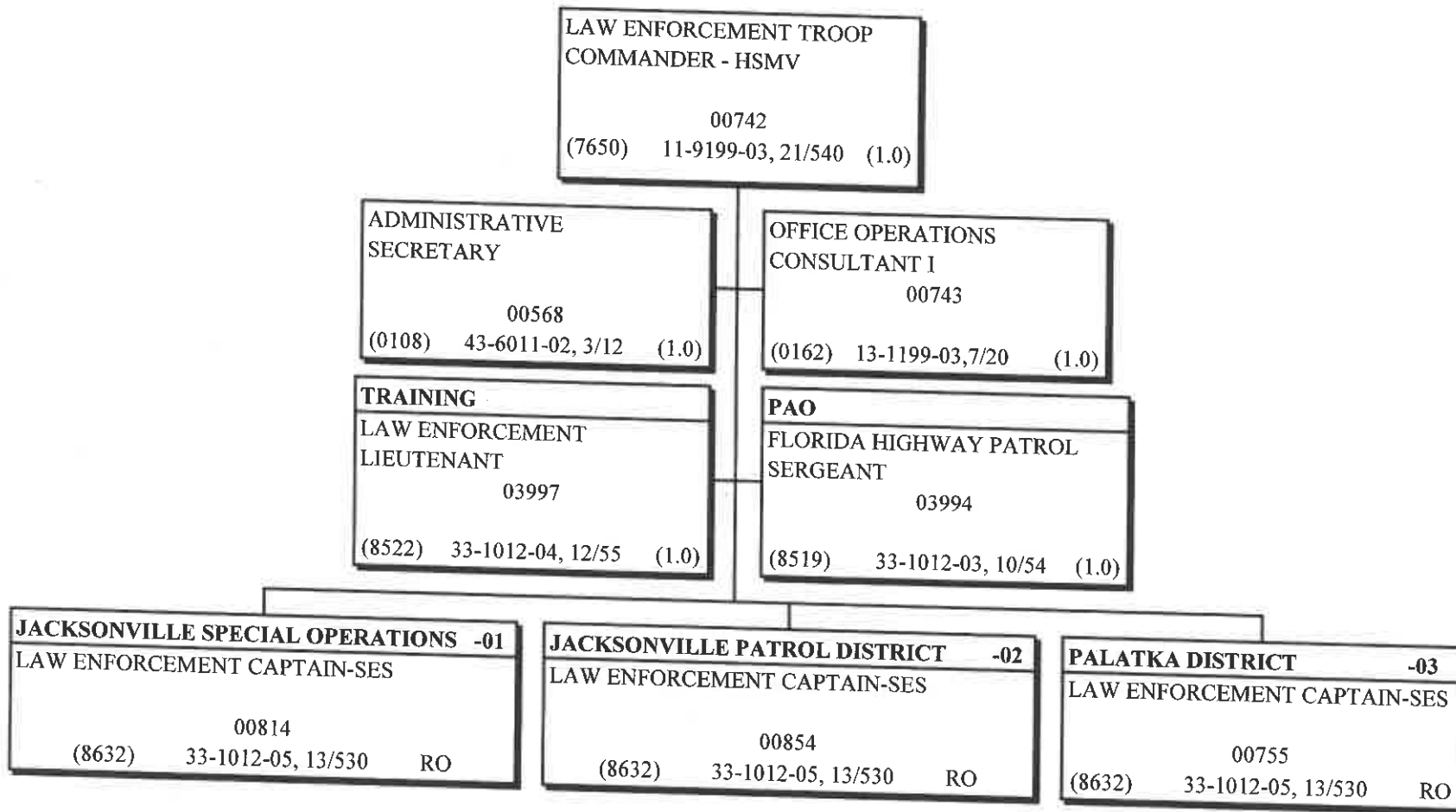
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP B / OCALA DISTRICT**

DATE: 06/03/2016  
 SEQUENCE: 7610-02-01-02-03  
 OED: *Adm*  
 NUMBER OF POSITIONS: 30  
 NUMBER OF FTE'S: 30.0



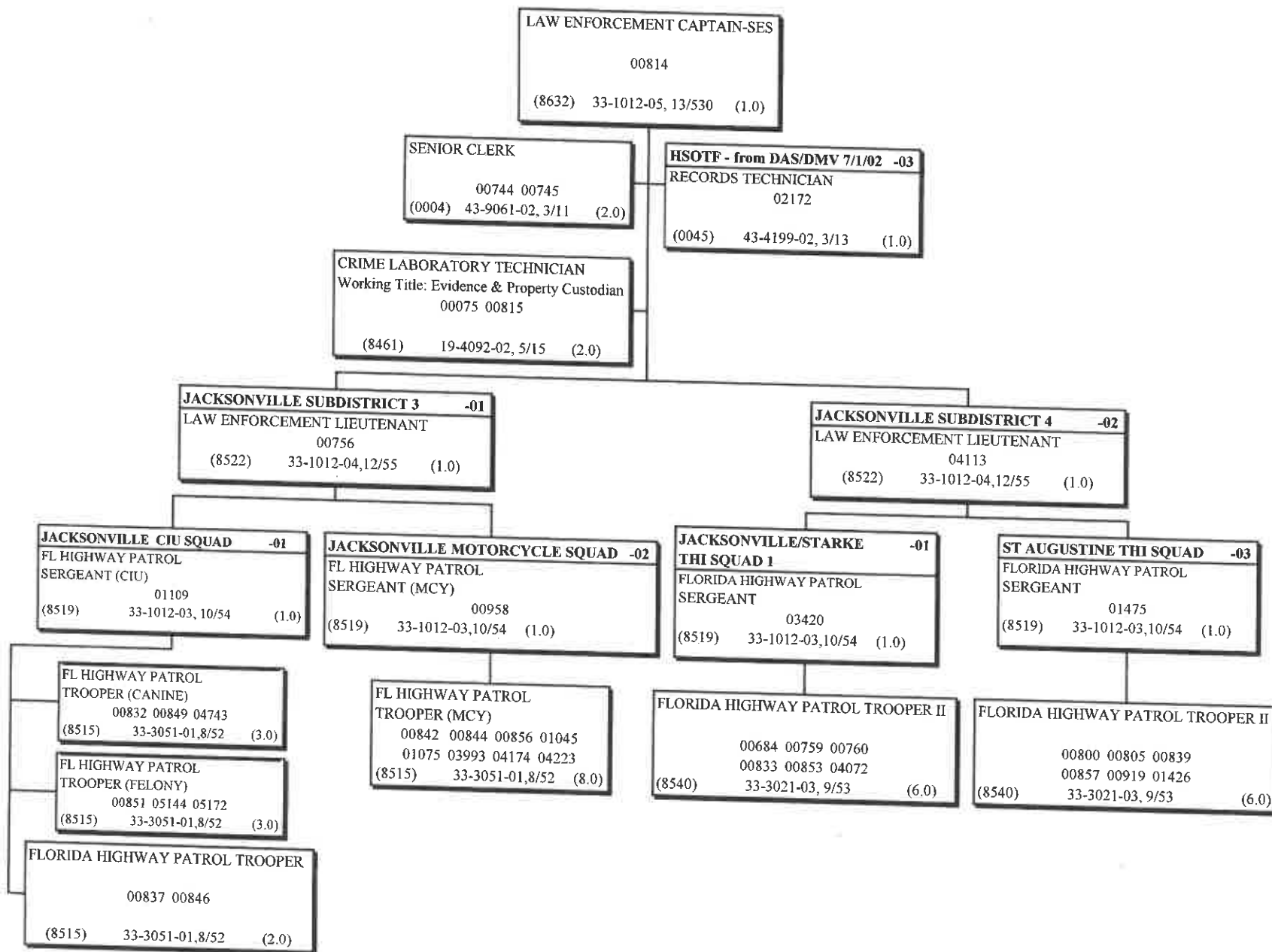
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP G / JACKSONVILLE HEADQUARTERS**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-01-03  
 OED: APM  
 NUMBER OF POSITIONS: 5  
 NUMBER OF FTE'S: 5.0



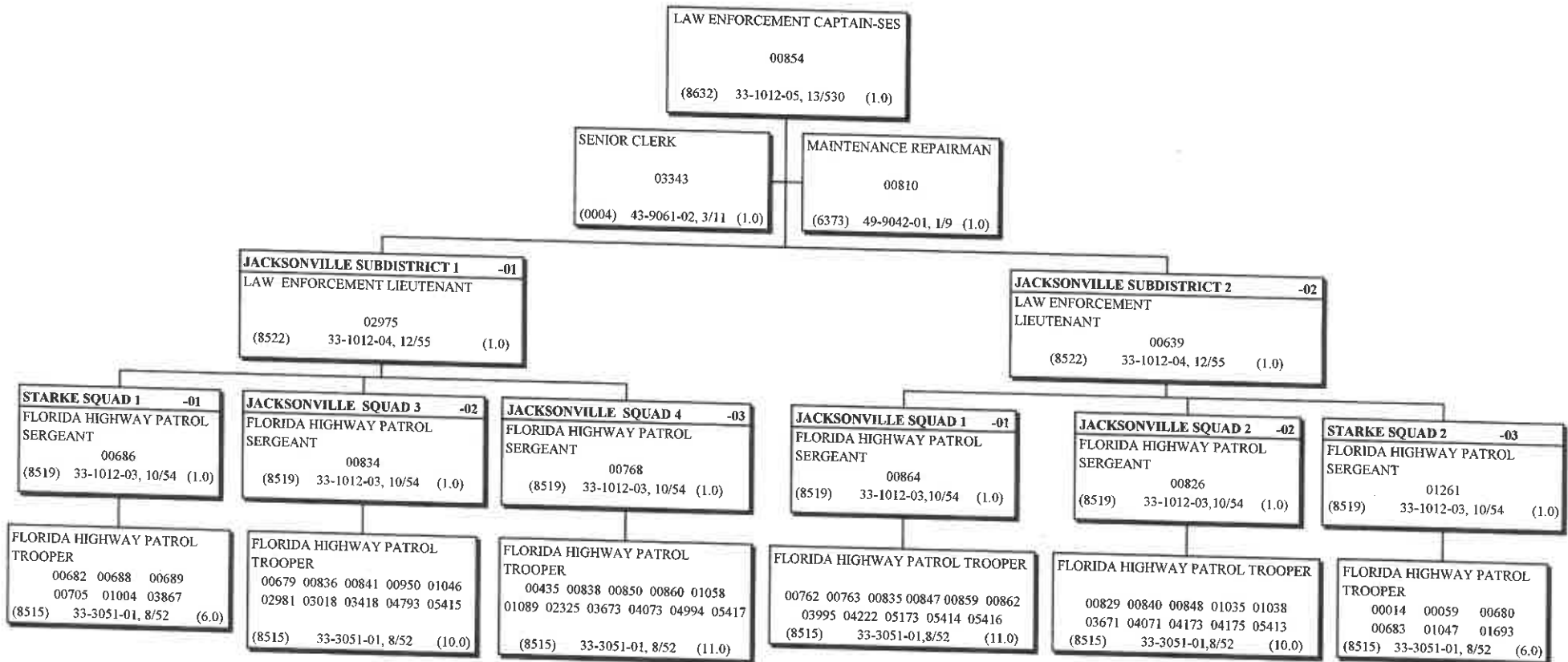
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP G / JACKSONVILLE SPECIAL OPERATIONS**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-01-03-01  
 OED: **AFM**  
 NUMBER OF POSITIONS: 40  
 NUMBER OF FTES: 40.0



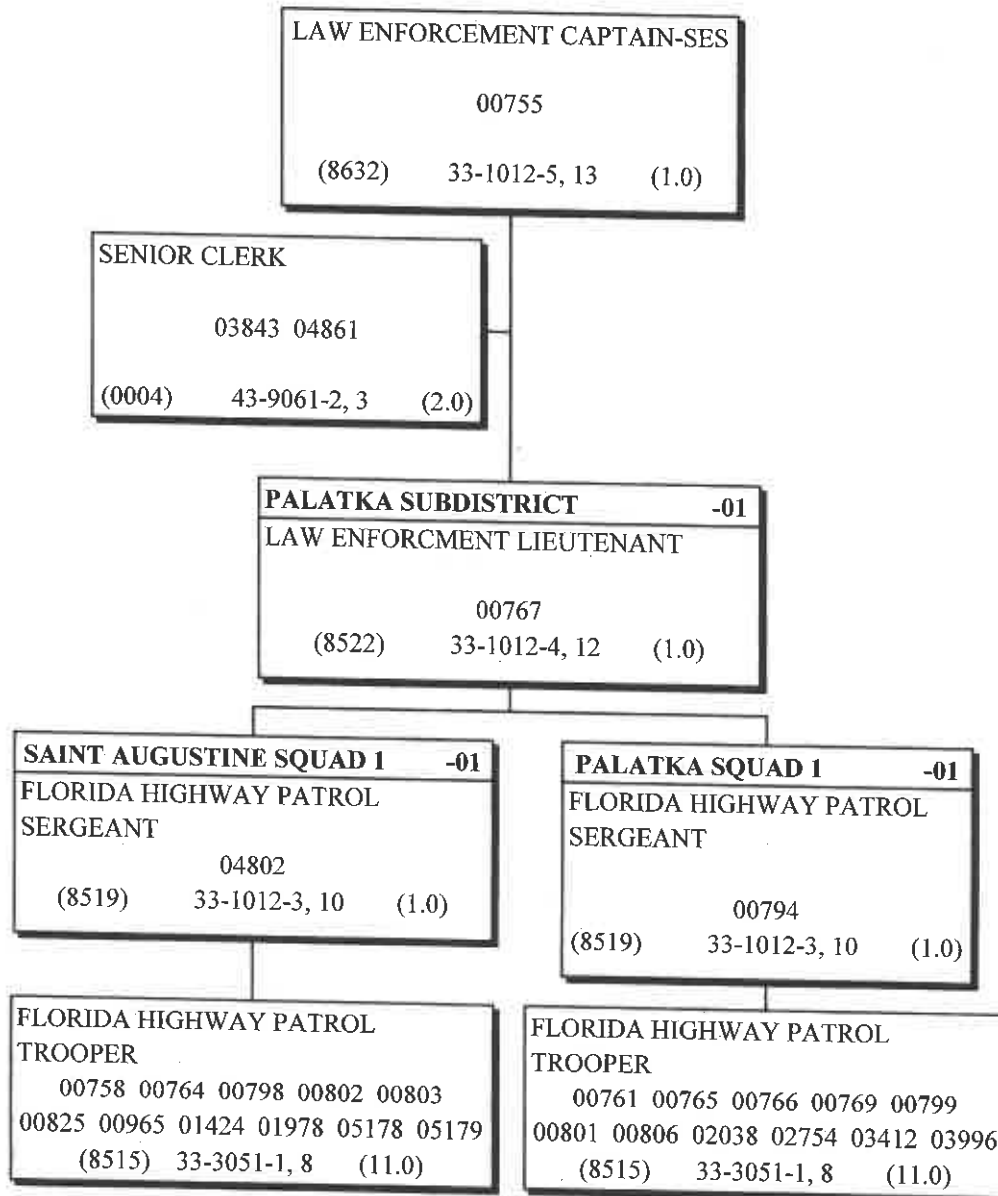
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP G / JACKSONVILLE PATROL DISTRICT**

DATE: 06/01/2016  
 SEQUENCE: 10-02-01-03-02  
 OED: *APM*  
 NUMBER OF POSITIONS: 65  
 NUMBER OF FTE'S: 65.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP G / PALATKA DISTRICT**

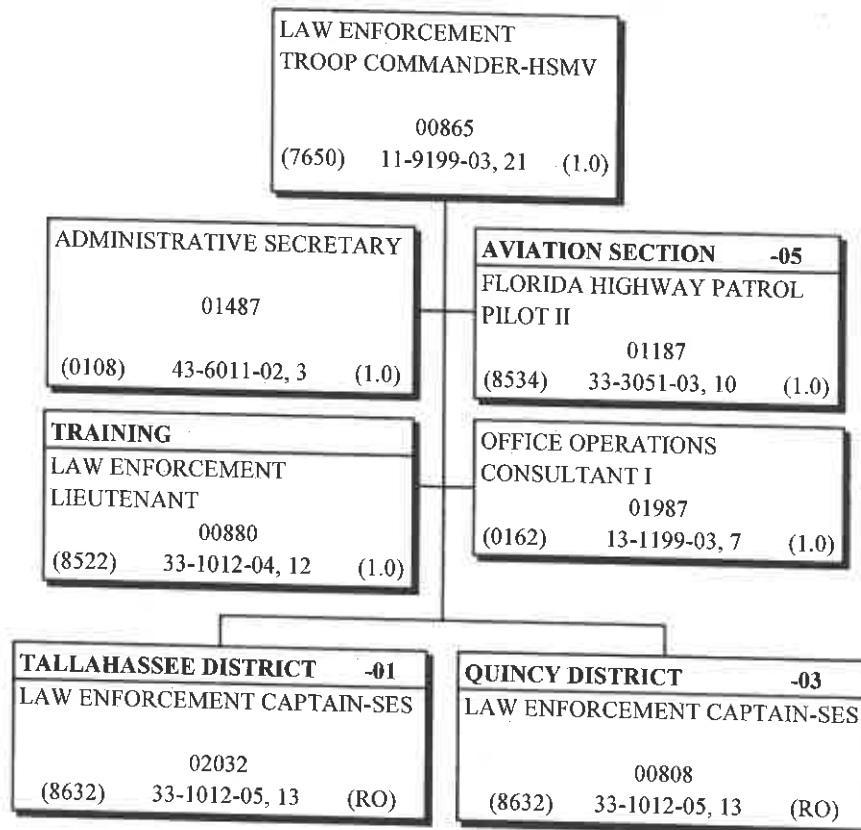
DATE: 02/01/2016  
 SEQUENCE: 7610-02-01-03-03  
 OED: AMM  
 NUMBER OF POSITIONS: 28  
 NUMBER OF FTE'S: 28.0





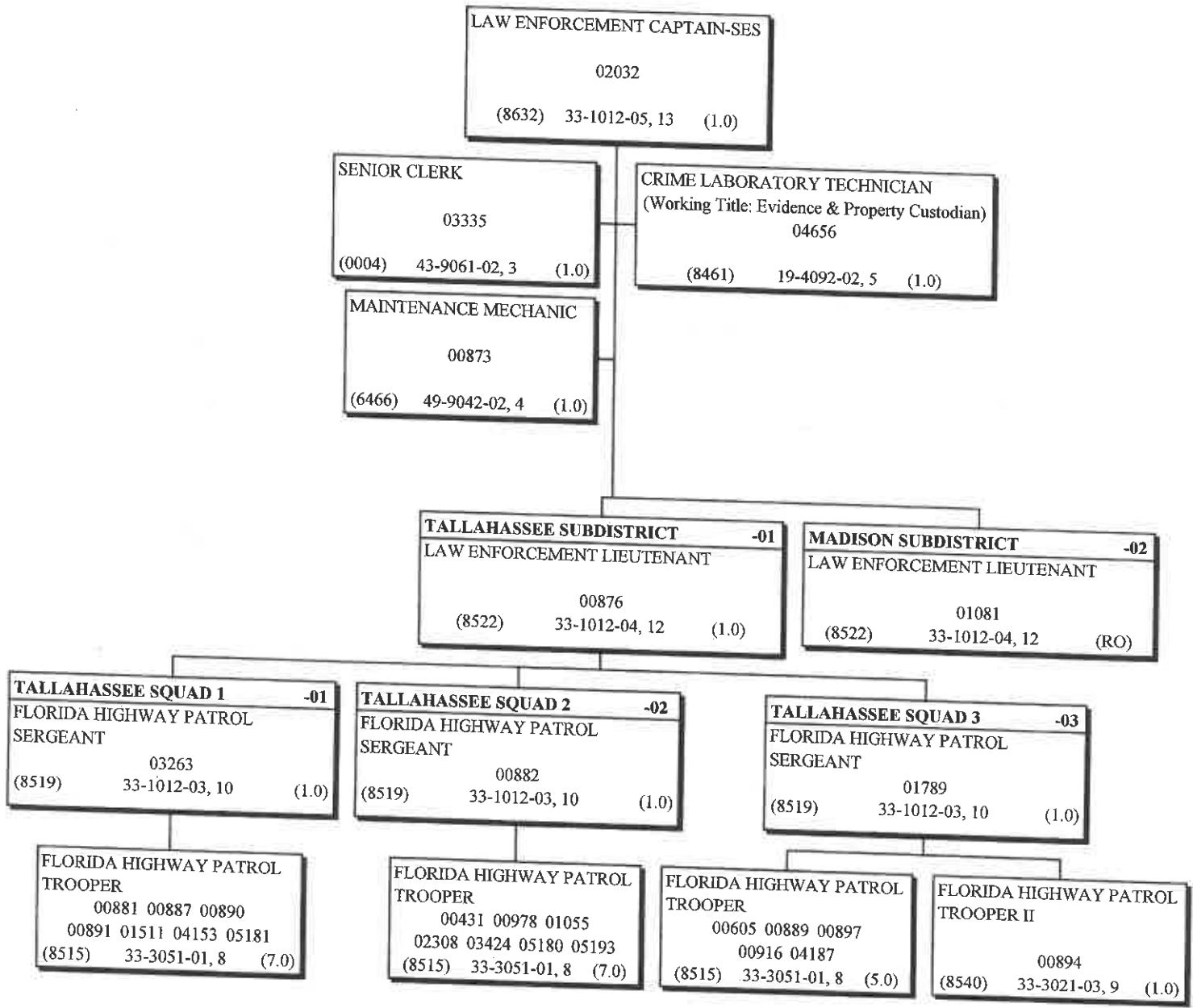
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP H / TALLAHASSEE HEADQUARTERS**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-01-04  
 OED: APM  
 NUMBER OF POSITIONS: 5  
 NUMBER OF FTE'S: 5.0



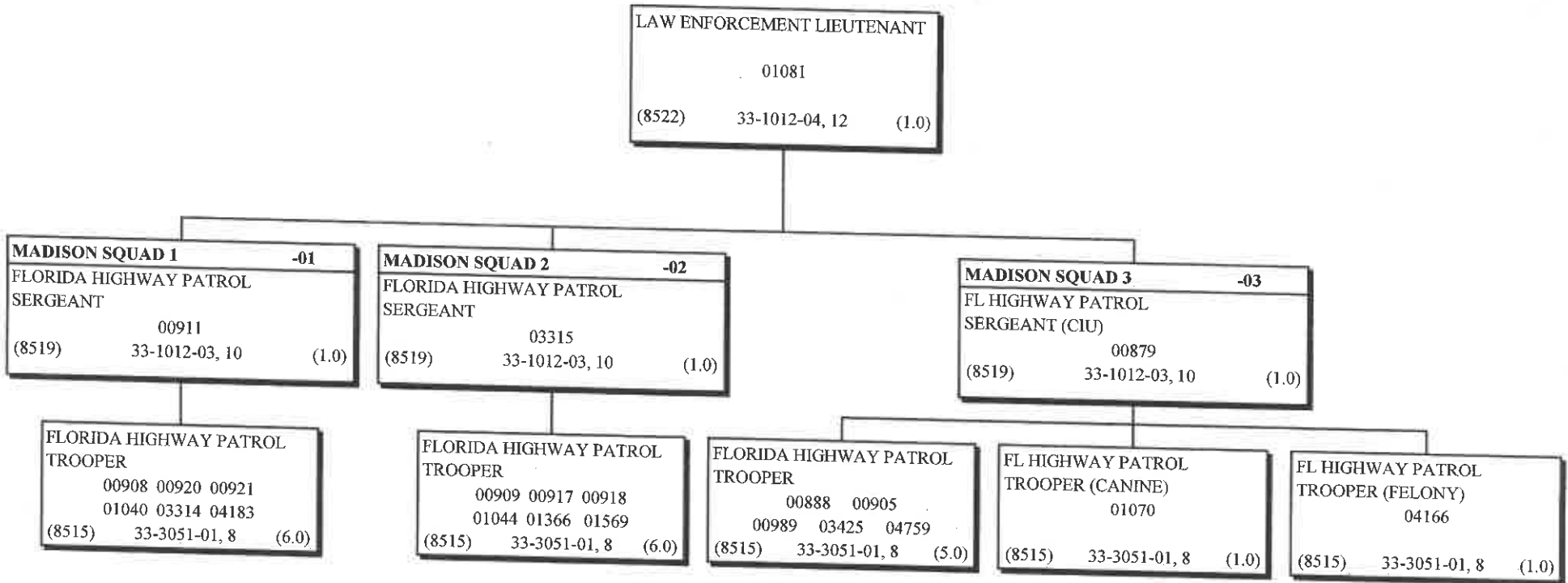
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP H / TALLAHASSEE DISTRICT**

DATE: 03/01/2016  
 SEQUENCE: 7610-02-01-04-01  
 OED: APM  
 NUMBER OF POSITIONS: 28  
 NUMBER OF FTE'S: 28.0



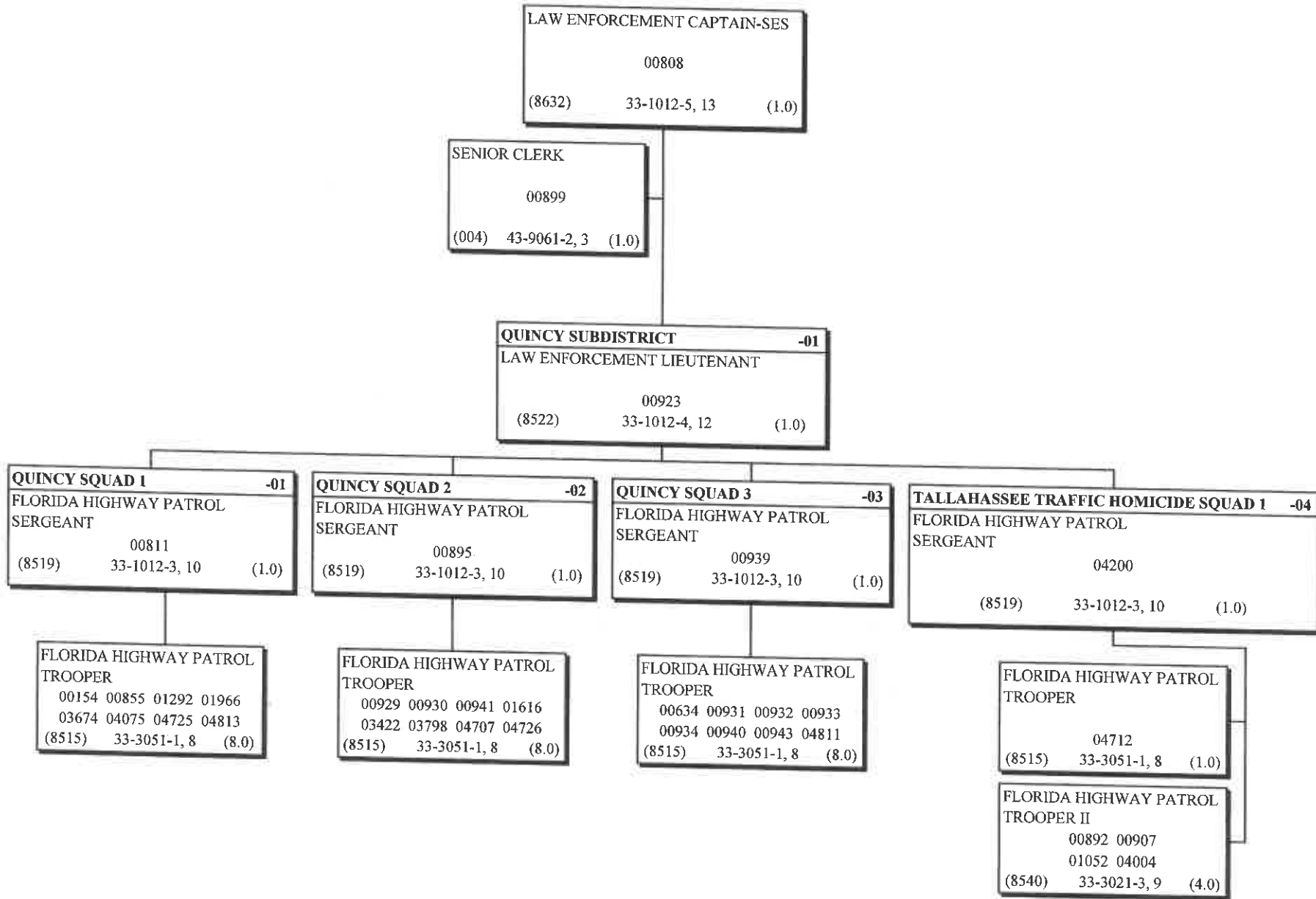
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP H / TALLAHASSEE DISTRICT / MADISON SUBDISTRICT**

DATE: 07/01/2015  
 SEQUENCE: 7610-02-01-04-01-02  
 OED: APM  
 NUMBER OF POSITIONS: 23  
 NUMBER OF FTE'S: 23.0



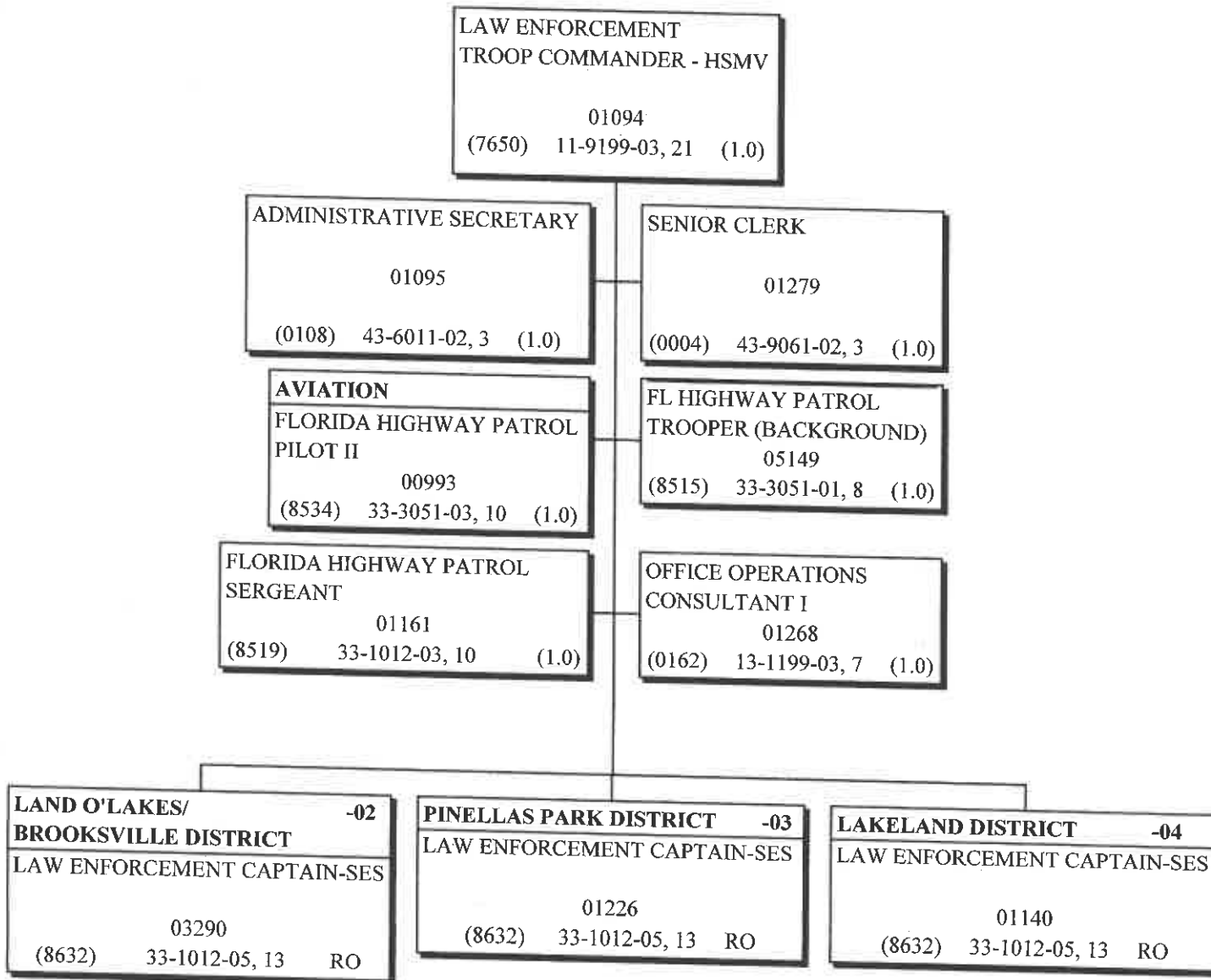
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL,  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP H / QUINCY DISTRICT**

DATE: 03/14/2014  
 SEQUENCE: 7610-02-01-04-03  
 OED: *JP*  
 NUMBER OF POSITIONS: 36  
 NUMBER OF FTE'S: 36.0



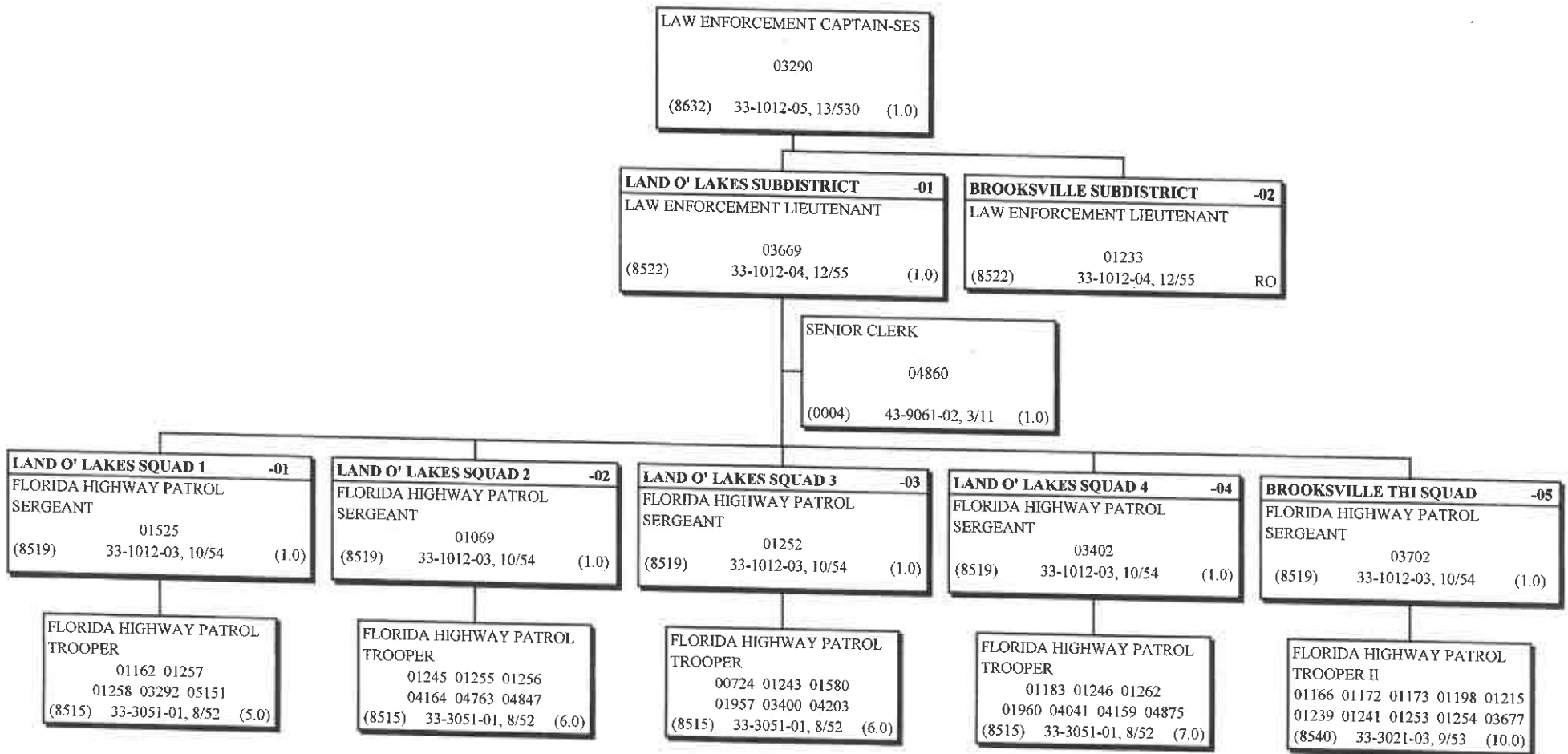
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP C / TAMPA HEADQUARTERS**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-01-05  
 OED: ADM  
 NUMBER OF POSITIONS: 7  
 NUMBER OF FTE'S: 7.0



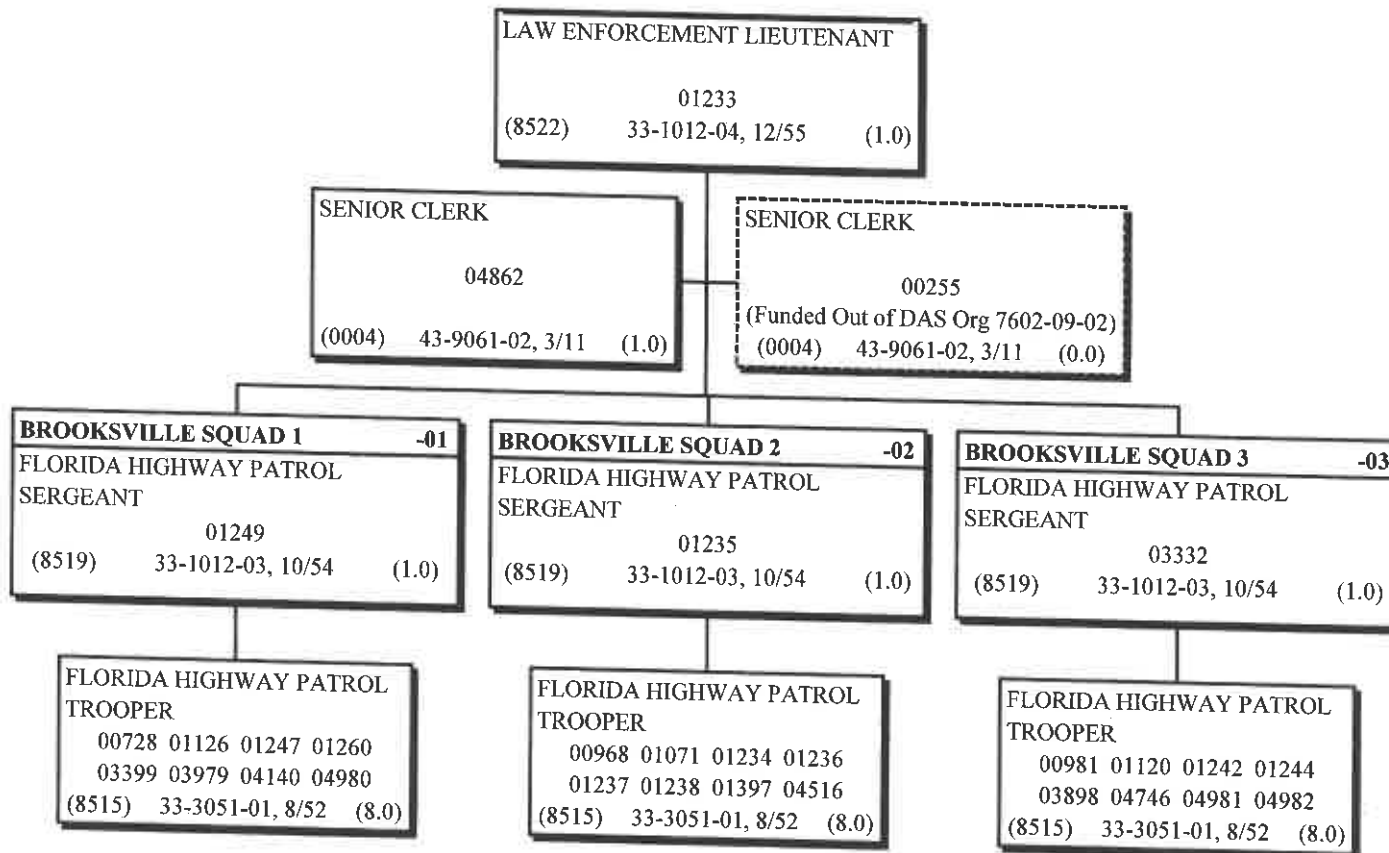
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, NORTHERN REGION  
 TROOP C / LAND O' LAKES/BROOKSVILLE DISTRICT**

DATE: 04/15/2016  
 SEQUENCE: 710-02-01-05-02  
 OED: *APM*  
 NUMBER OF POSITIONS: 42  
 NUMBER OF FTE'S: 42.0



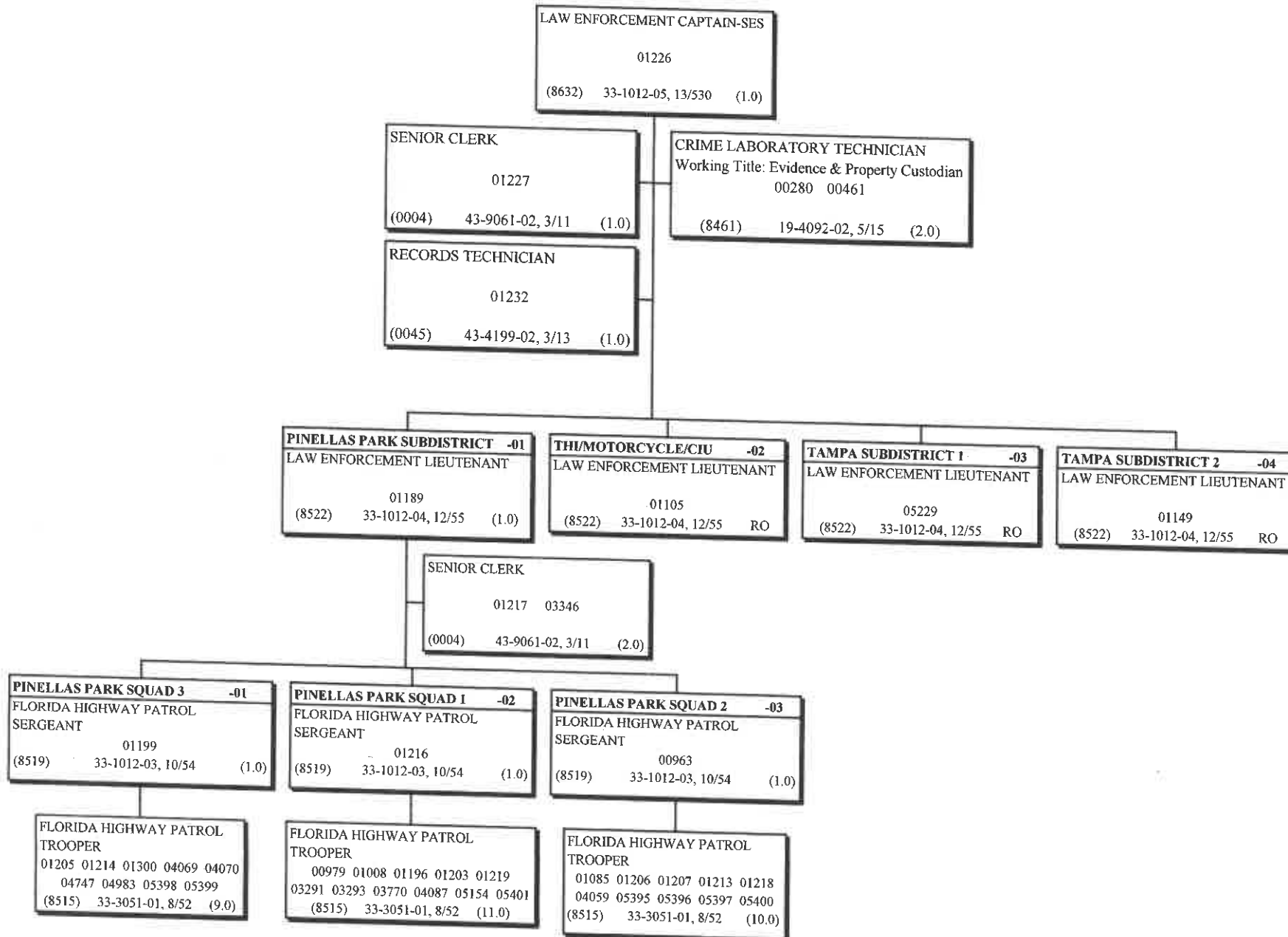
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL,  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP C / BROOKSVILLE SUBDISTRICT**

DATE: 04/15/2016  
 SEQUENCE: 7610-02-01-05-02-02  
 OED: APM  
 NUMBER OF POSITIONS: 29  
 NUMBER OF FTE'S: 29.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP C / PINELLAS PARK DISTRICT**

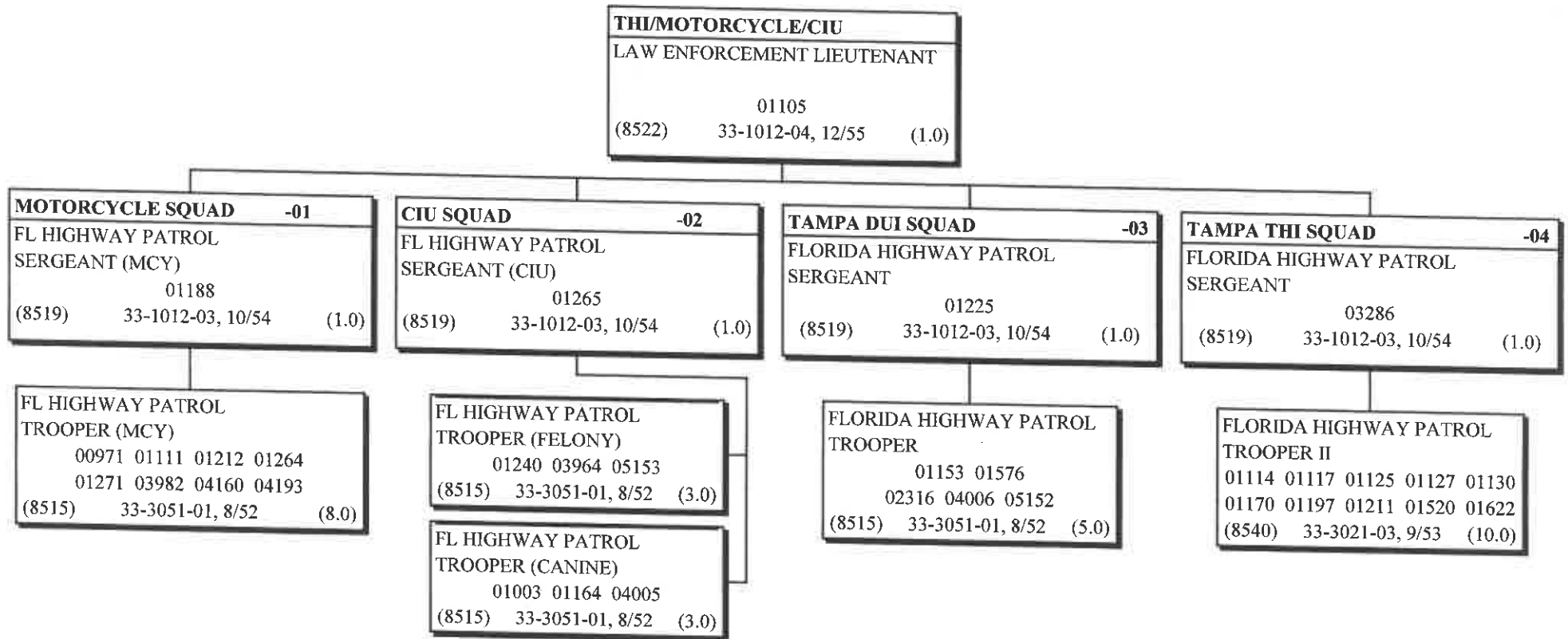
DATE: 04/15/2016  
 SEQUENCE: 7610-02-01-05-03  
 OED: **APM**  
 NUMBER OF POSITIONS: 41  
 NUMBER OF FTE'S: 41.0





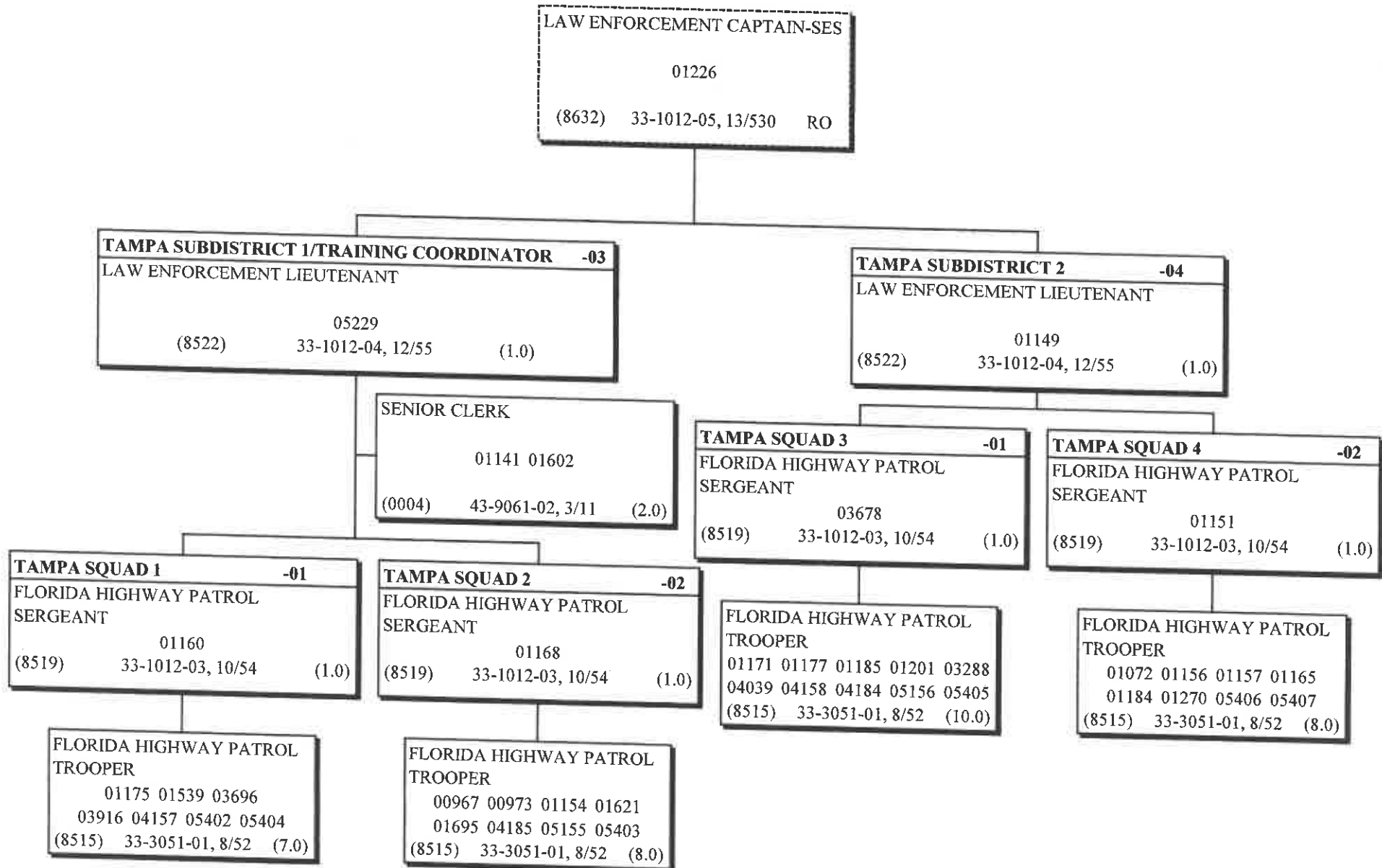
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP C / PINELLAS PARK DISTRICT (THI/MOTORCYCLE/CIU)**

DATE: 04/15/2016  
 SEQUENCE: 7610-02-01-05-03-02  
 OED: APM  
 NUMBER OF POSITIONS: 34  
 NUMBER OF FTE'S: 34.0



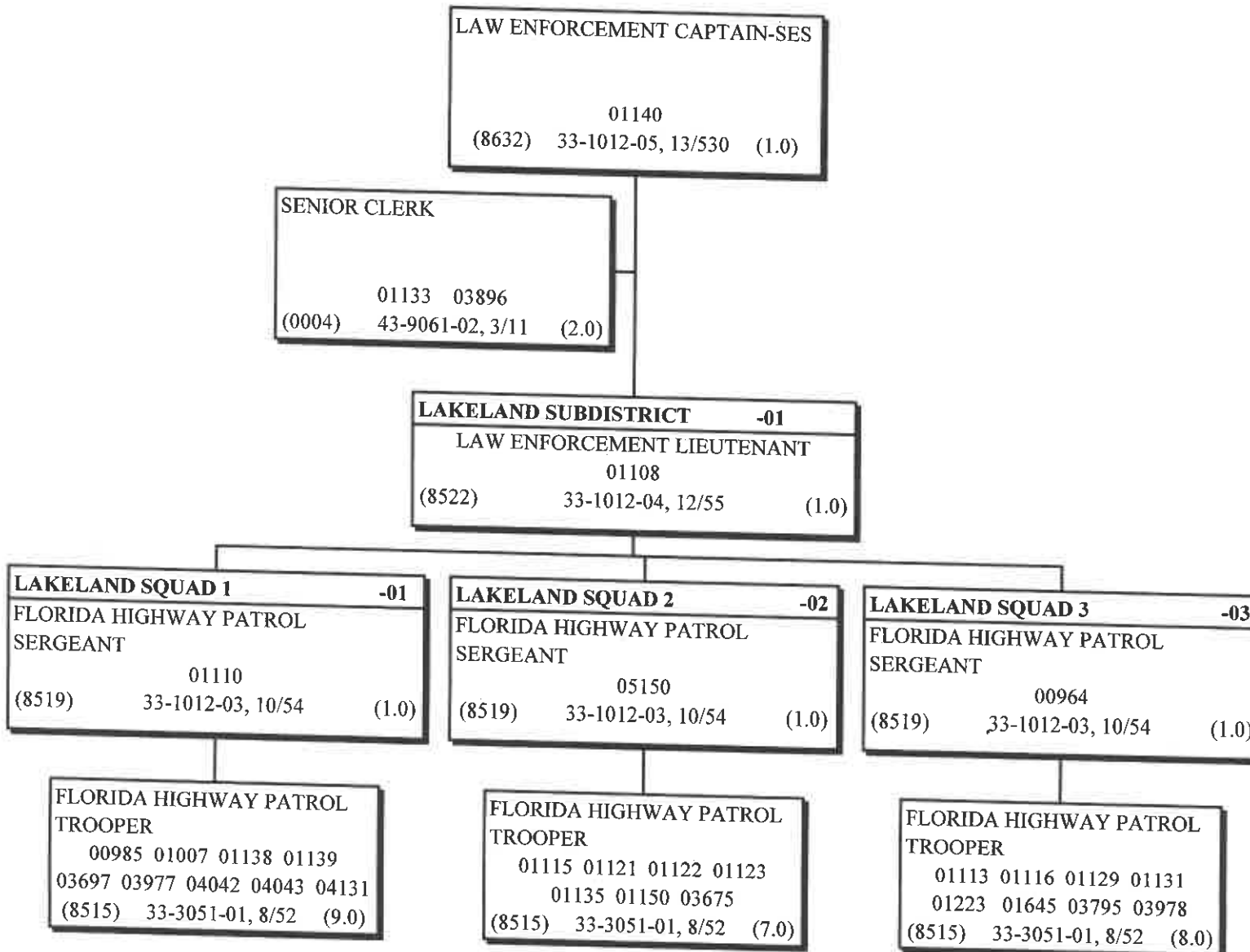
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP C / PINELLAS PARK DISTRICT/TAMPA SUBDISTRICTS**

DATE: 04/15/2016  
 SEQUENCE: 7610-02-01-05-03  
 OED: *APM*  
 NUMBER OF POSITIONS: 41  
 NUMBER OF FTE'S: 41.0



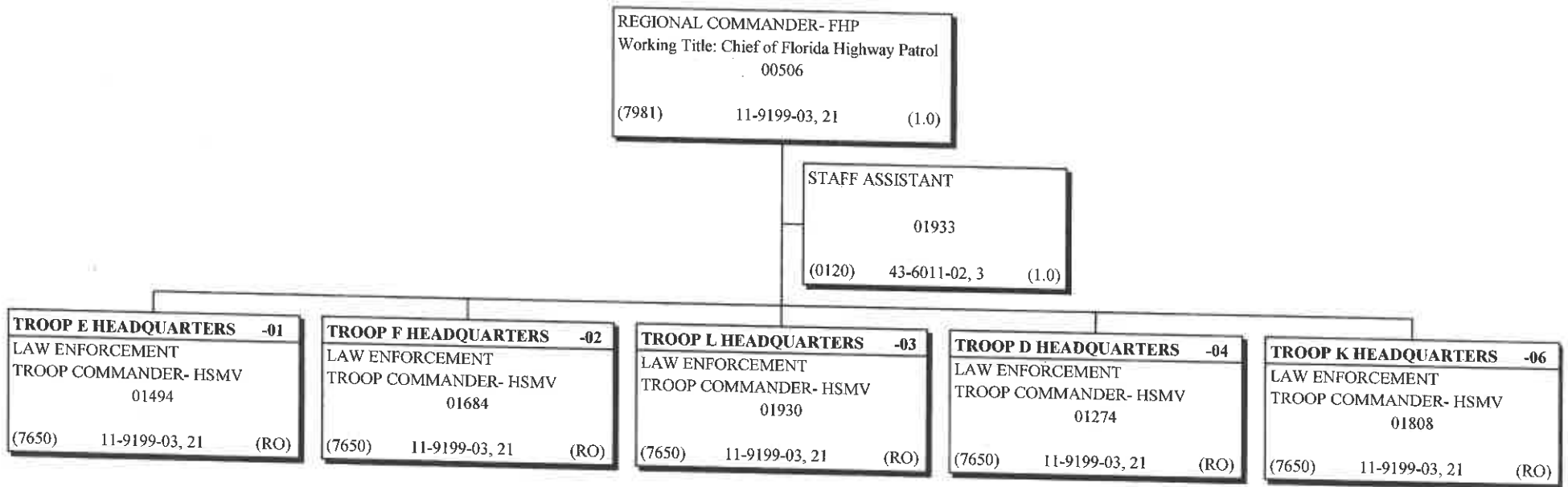
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, NORTHERN REGION  
 TROOP C, LAKELAND DISTRICT**

DATE: 04/15/2016  
 SEQUENCE: 7610-02-01-05-04  
 OED: APM  
 NUMBER OF POSITIONS: 31  
 NUMBER OF FTE'S: 31.0



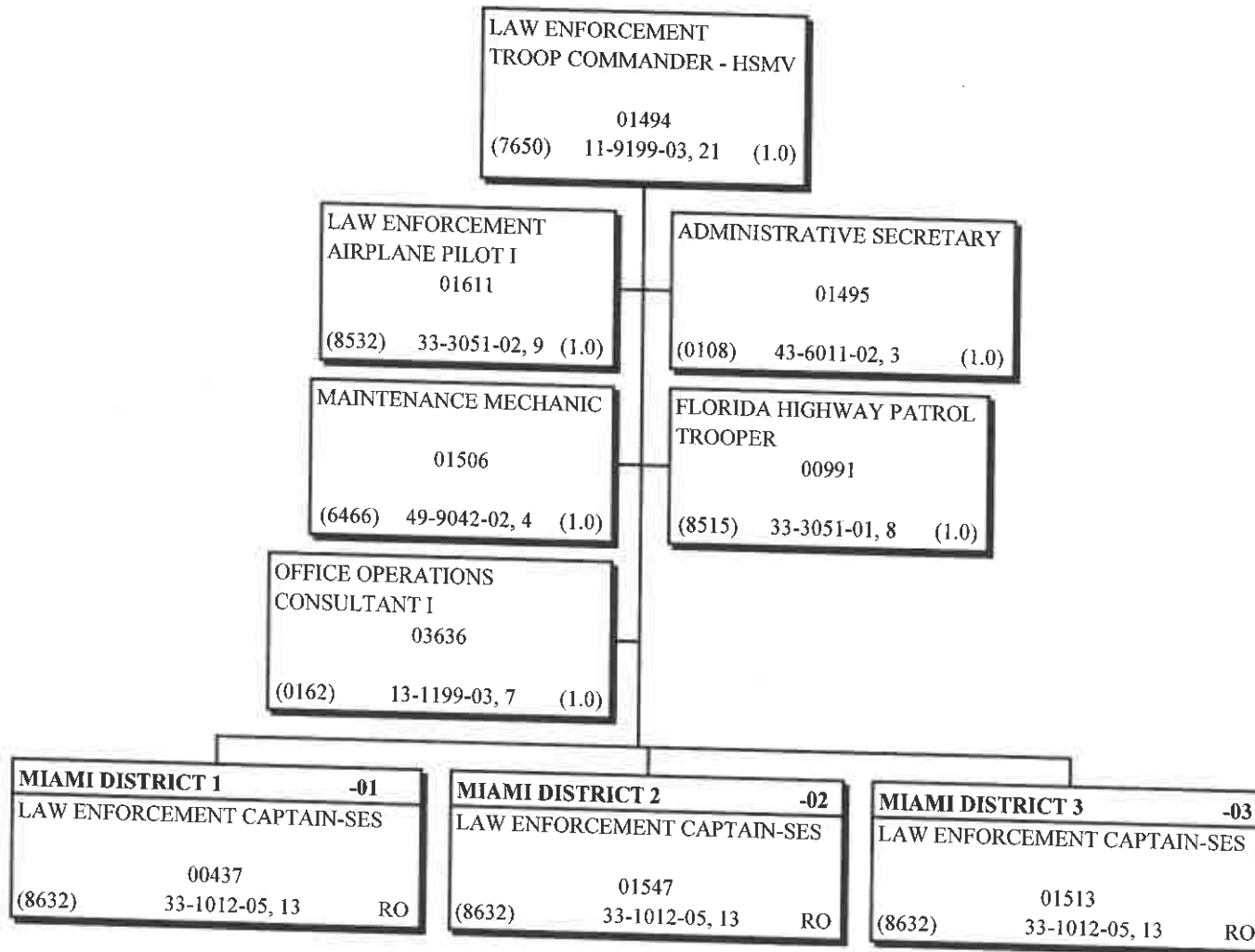
**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS, SOUTHERN REGION**

DATE: 10/01/2015  
 SEQUENCE: 7610-02-03  
 OED: *APM*  
 NUMBER OF POSITIONS: 2  
 NUMBER OF FTE'S: 2.0



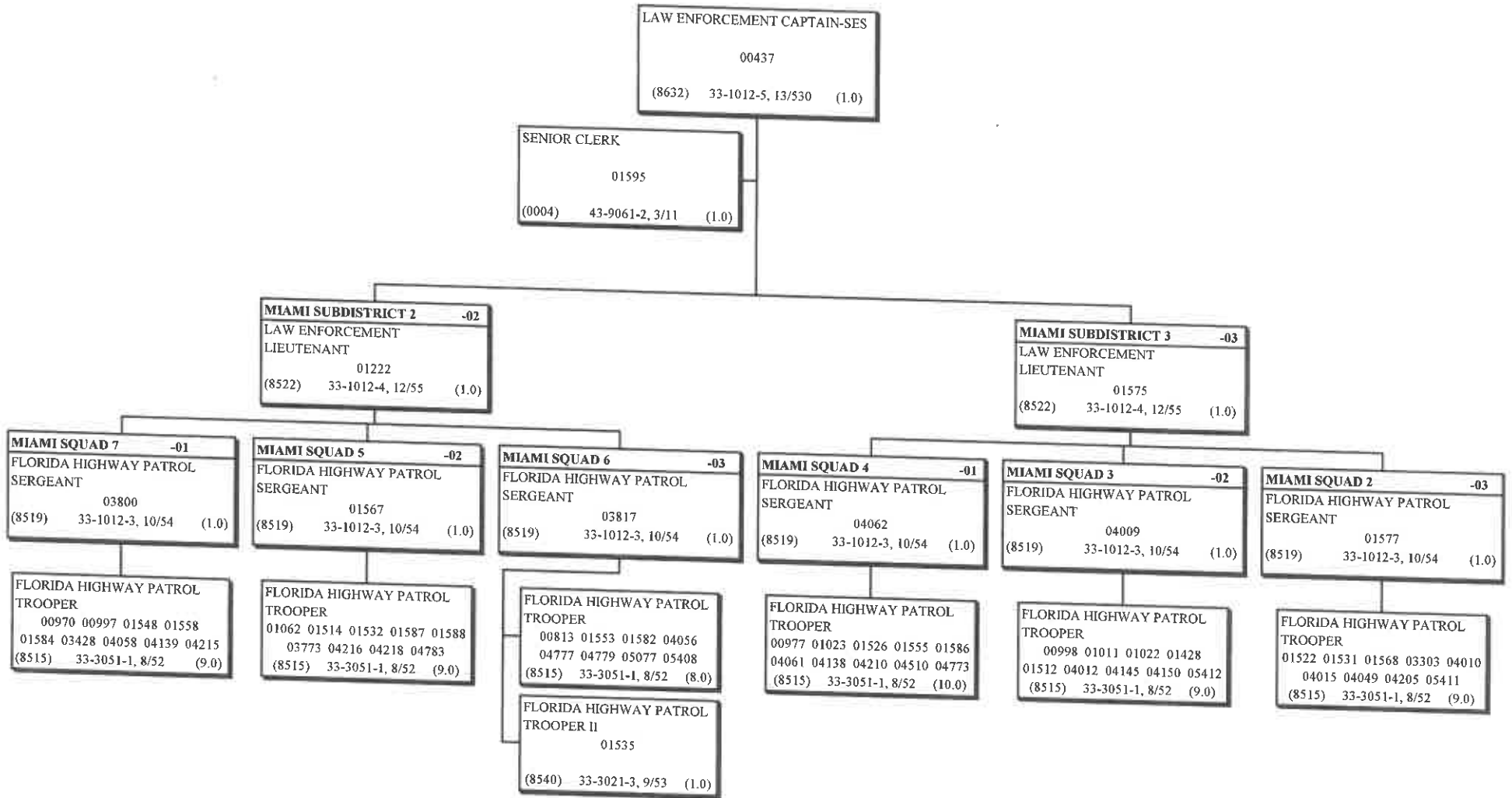
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP E / MIAMI HEADQUARTERS**

DATE: 05/27/2016  
 SEQUENCE: 7610-02-03-01  
 OED: APM  
 NUMBER OF POSITIONS: 6  
 NUMBER OF FTE'S: 6.0



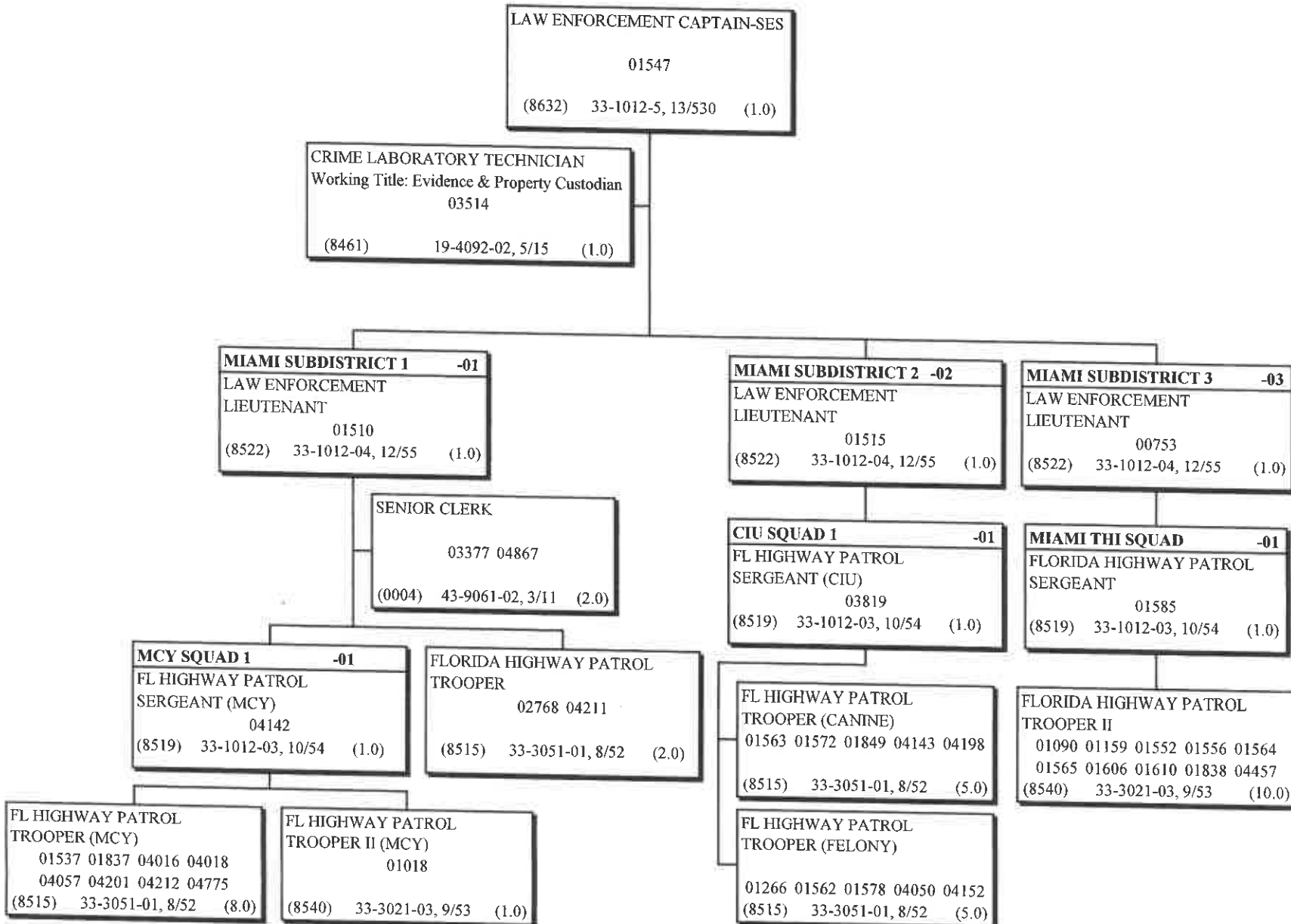
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS, SOUTHERN REGION  
TROOP E / MIAMI DISTRICT 1**

DATE: 05/27/2016  
SEQUENCE: 7610-02-03-01-01  
OED: AFM  
NUMBER OF POSITIONS: 65  
NUMBER OF FTES: 65.0



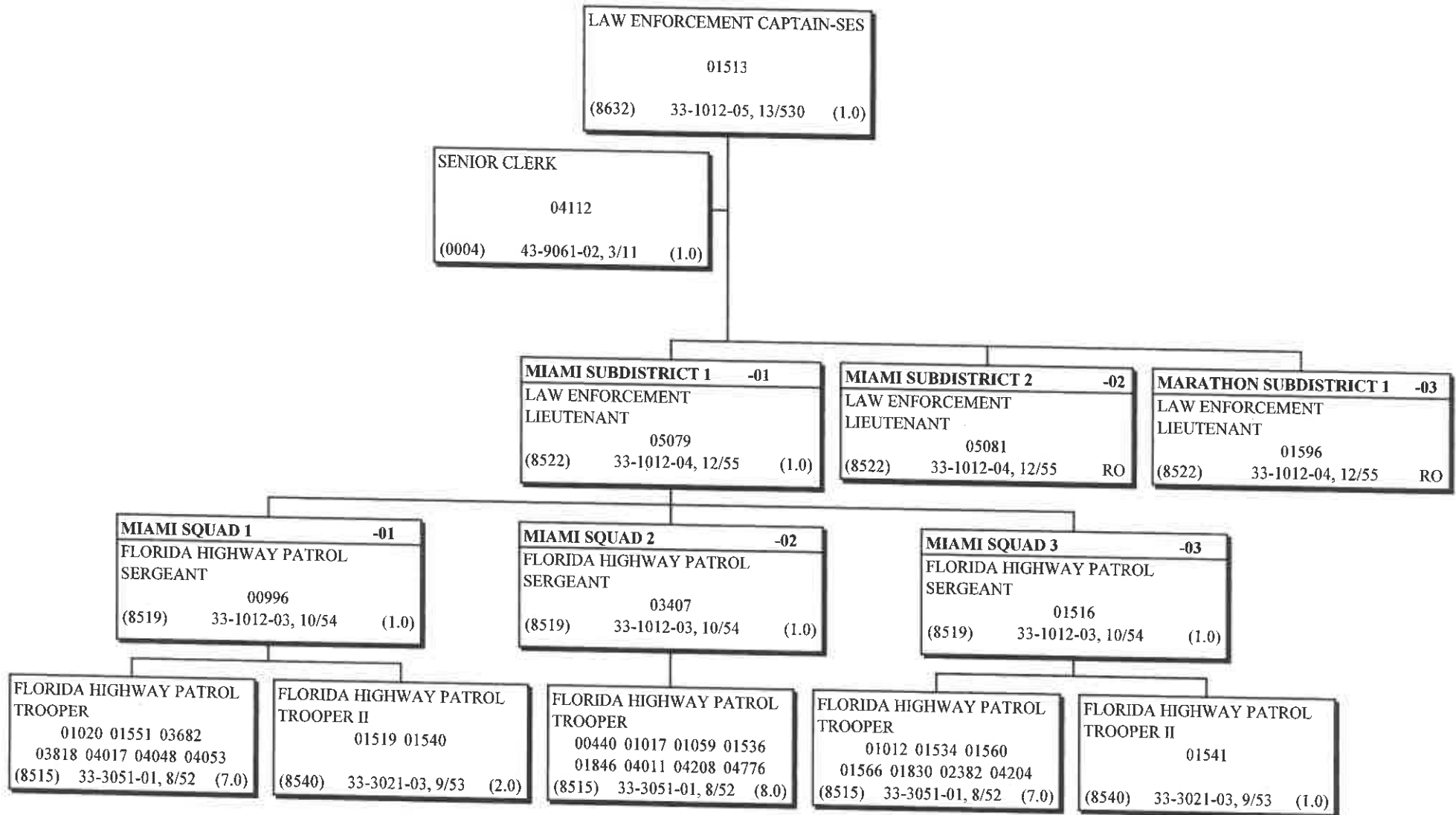
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP E / MIAMI DISTRICT 2**

DATE: 05/27/2016  
 SEQUENCE: 7610-02-03-01-02  
 OED: *ADM*  
 NUMBER OF POSITIONS: 41  
 NUMBER OF FTES: 41.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP E / MIAMI DISTRICT 3**

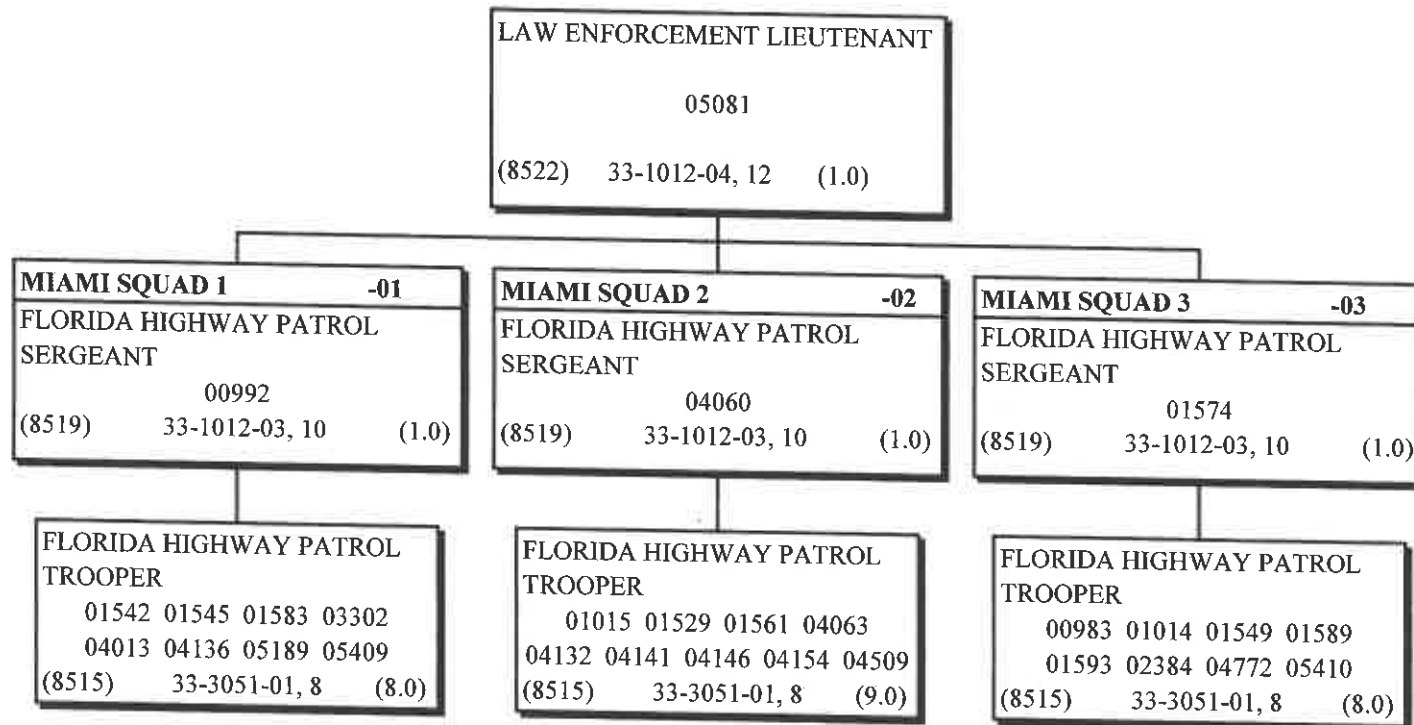
DATE: 05/27/2016  
 SEQUENCE: 7610-02-03-01-03  
 OED: *APM*  
 NUMBER OF POSITIONS: 31  
 NUMBER OF FTES: 31.0





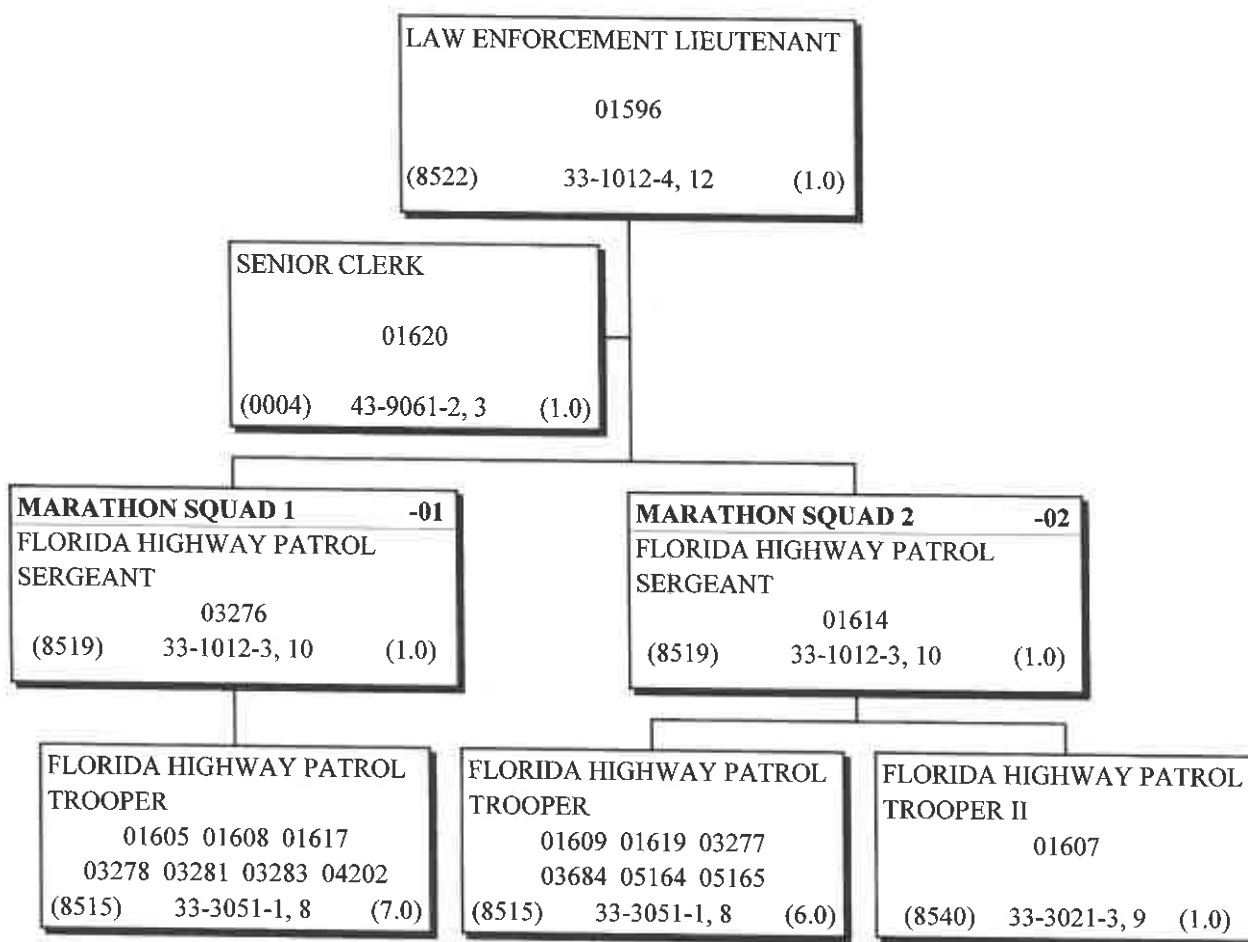
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP E / MIAMI DISTRICT 3, SUBDISTRICT 2**

DATE: 05/27/2016  
 SEQUENCE: 7610-02-03-01-03-02  
 OED: APM  
 NUMBER OF POSITIONS: 29  
 NUMBER OF FTE'S: 29.0



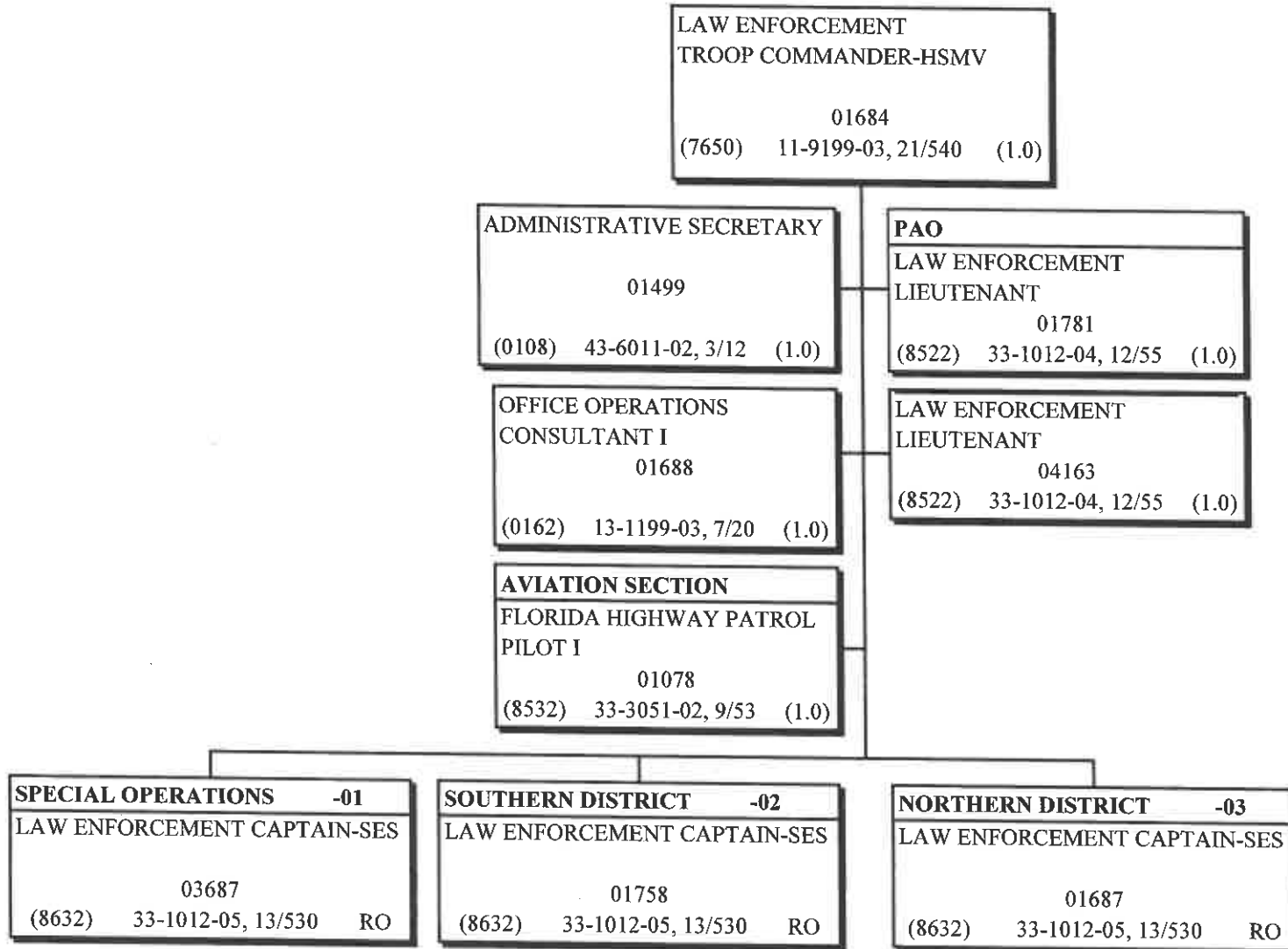
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP E / MIAMI DISTRICT 3, MARATHON SUBDISTRICT 1**

DATE: 05/28/13  
 SEQUENCE: 7610-02-03-01-03-03  
 OED: APM  
 NUMBER OF POSITIONS: 18  
 NUMBER OF FTE'S: 18.0



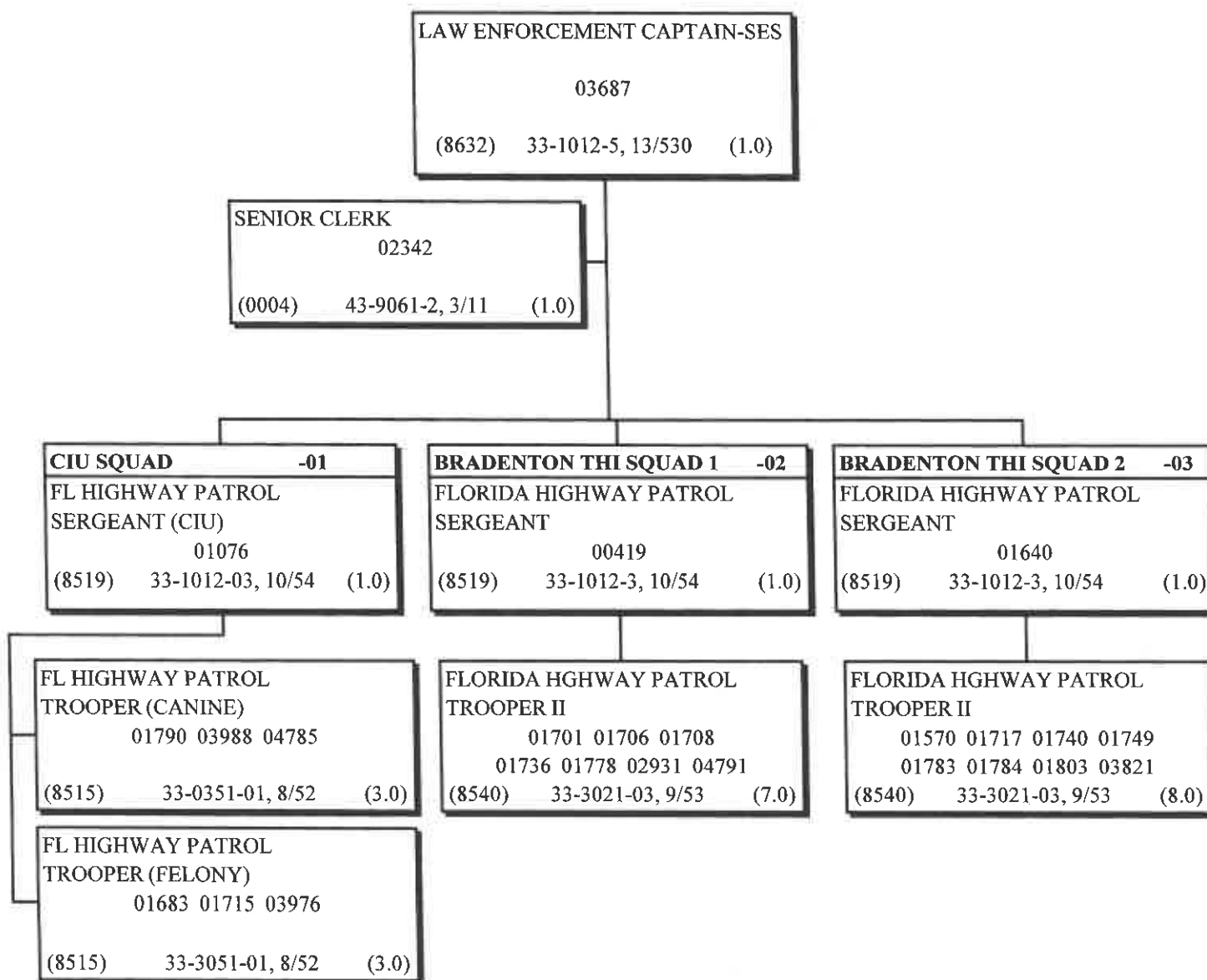
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP F / BRADENTON HEADQUARTERS**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-02  
 OED: APM  
 NUMBER OF POSITIONS: 6  
 NUMBER OF FTE'S: 6.0



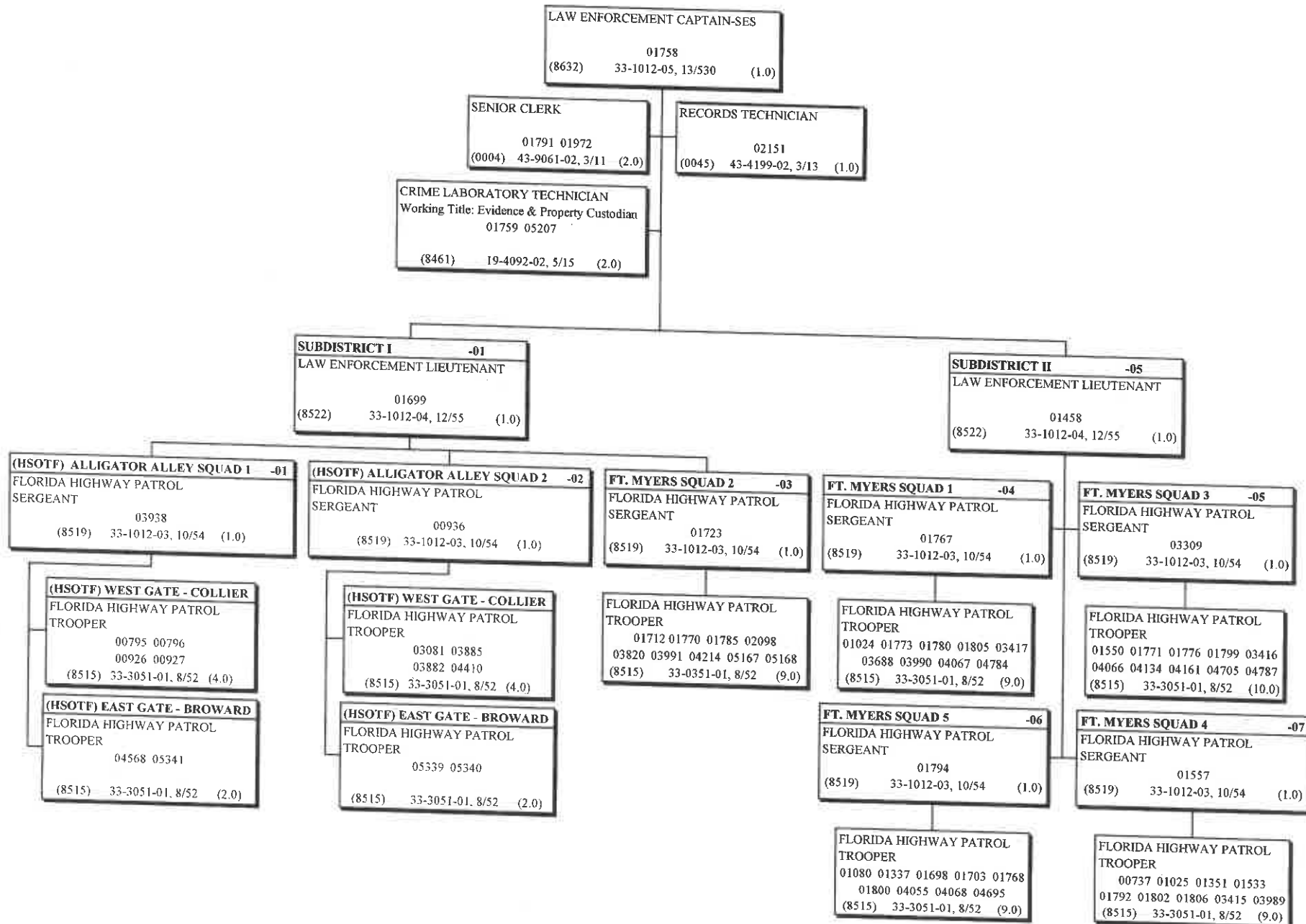
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP F / SPECIAL OPERATIONS**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-02-01  
 OED: APM  
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 NUMBER OF FTE'S: 26.0



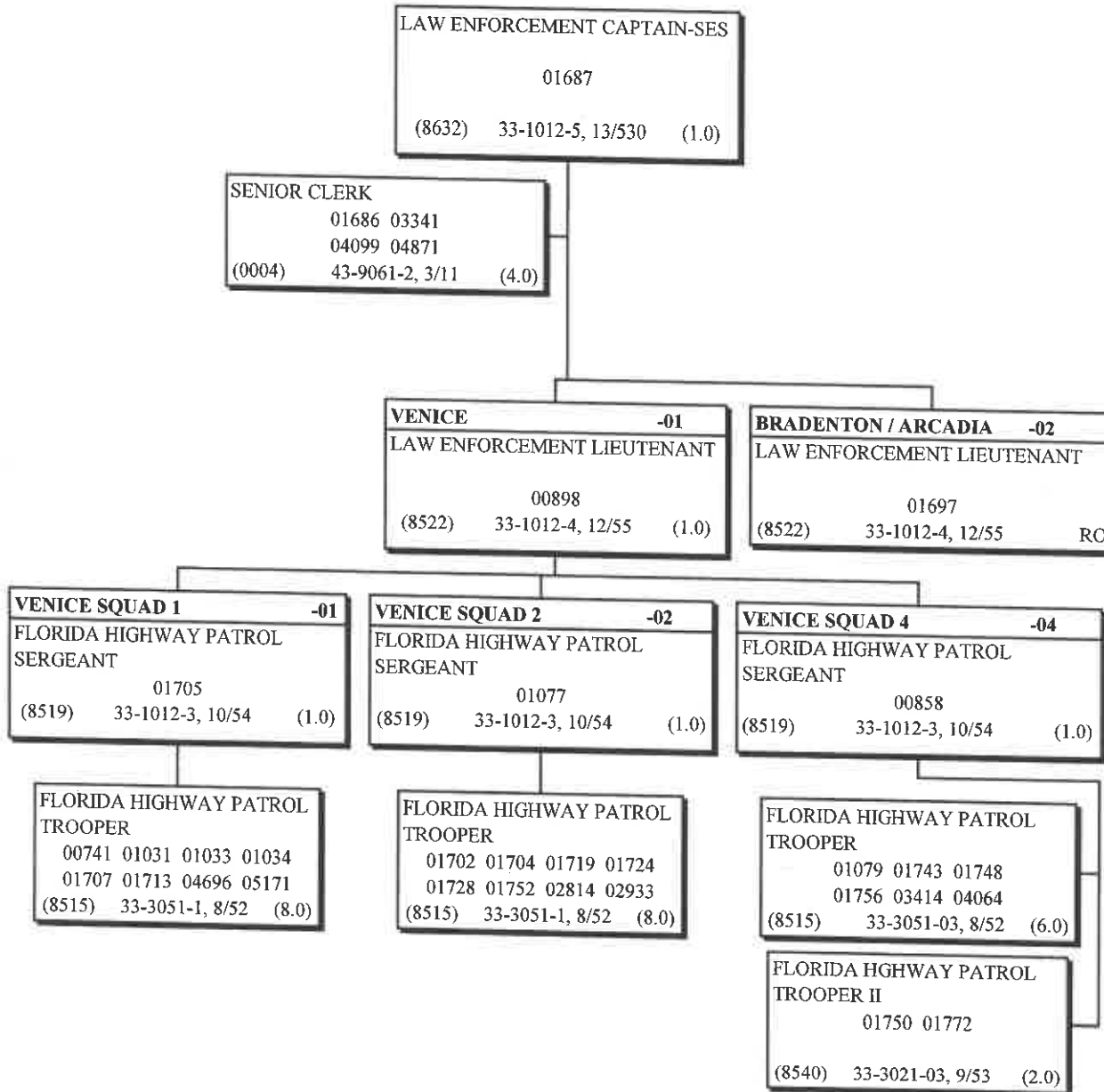
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS COMMAND, SOUTHERN REGION  
TROOP F / SOUTHERN DISTRICT**

DATE: 06/01/2016  
SEQUENCE: 7610-02-03-02-02  
OED: *APM*  
NUMBER OF POSITIONS: 73  
NUMBER OF FTE'S: 73.0



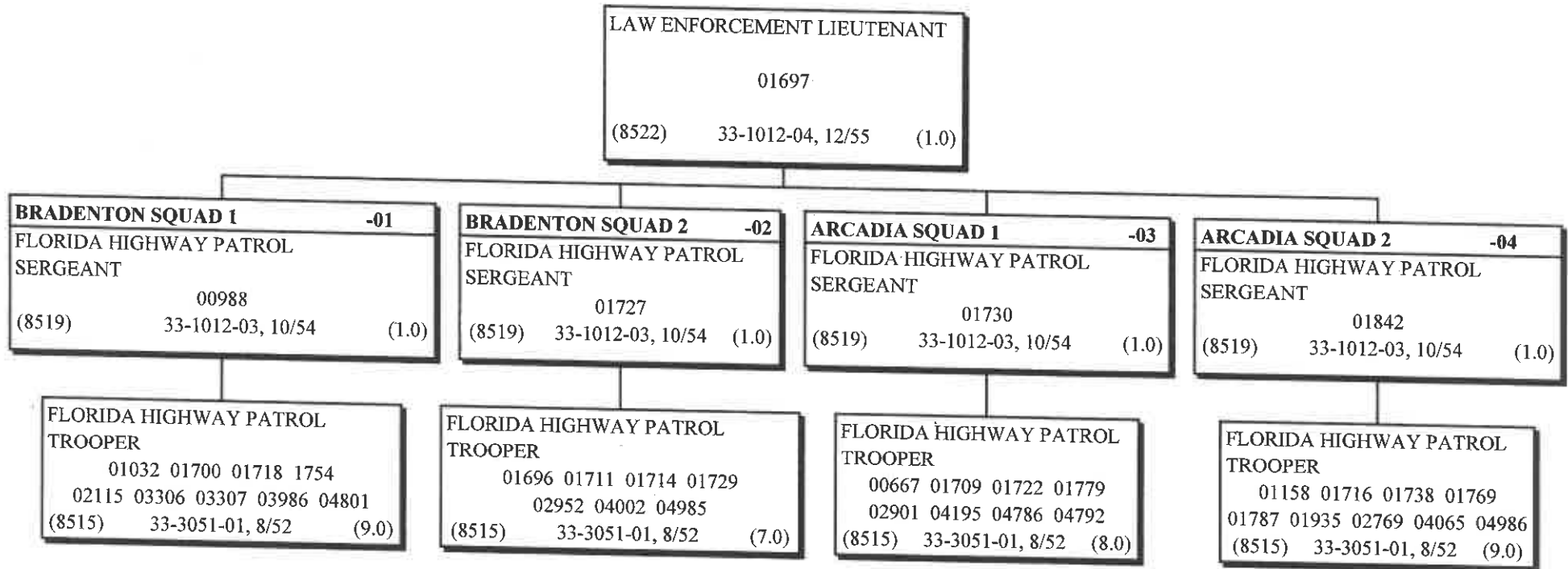
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP F / NORTHERN DISTRICT**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-02-03  
 OED: APM  
 NUMBER OF POSITIONS: 33  
 NUMBER OF FTE'S: 33.0



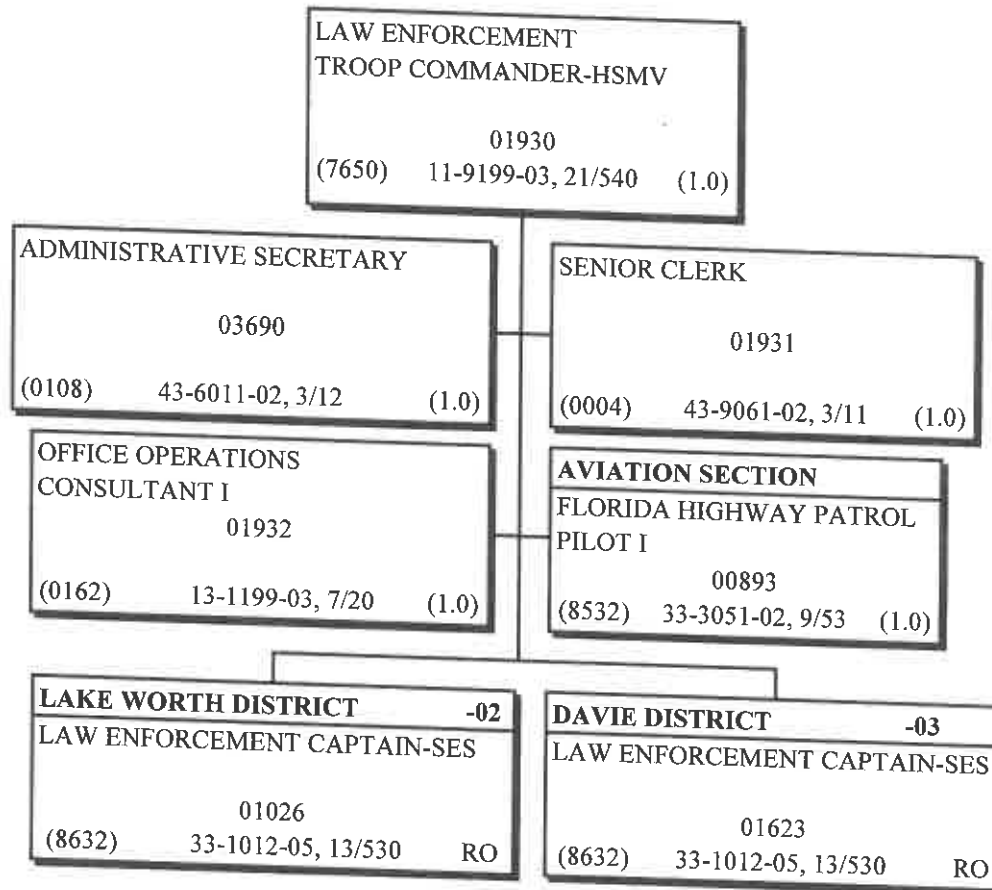
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL,  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP F / NORTHERN DISTRICT, BRADENTON / ARCADIA**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-02-03-02  
 OED: APM  
 NUMBER OF POSITIONS: 38  
 NUMBER OF FTE'S: 38.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP L / LAKE WORTH HEADQUARTERS**

DATE: 03/01/2016  
 SEQUENCE: 7610-02-03-03  
 OED: APM  
 NUMBER OF POSITIONS: 5  
 NUMBER OF FTE'S: 5.0





**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP L / FT. PIERCE DISTRICT**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-03-03-02  
 OED: *Apm*  
 NUMBER OF POSITIONS: 39  
 NUMBER OF FTES: 39.0

LAW ENFORCEMENT CAPTAIN-SES  
 01026  
 (8632) 33-1012-05, 13 (1.0)

SENIOR CLERK  
 01995 04874 04882  
 (0004) 43-9061-02, 3 (3.0)

PAO  
 LAW ENFORCEMENT LIEUTENANT  
 00703  
 (8522) 33-1012-04, 12 1.0

CRIME LABORATORY TECHNICIAN  
 Working Title: Evidence and Property Custodian  
 05204  
 (8461) 19-4092-02, 5 (1.0)

**FT. PIERCE DISTRICT 1 -01**  
 LAW ENFORCEMENT LIEUTENANT  
 01994  
 (8522) 33-1012-04, 12 (1.0)

**LAKE WORTH DISTRICT I -02**  
 LAW ENFORCEMENT LIEUTENANT  
 01974  
 (8522) 33-1012-04, 12 RO

**LAKE WORTH DISTRICT 2 -03**  
 LAW ENFORCEMENT LIEUTENANT  
 01666  
 (8522) 33-1012-04, 12 RO

**FT. PIERCE DISTRICT 2 -04**  
 LAW ENFORCEMENT LIEUTENANT  
 00956  
 (8522) 33-1012-04, 12 (1.0)

SENIOR CLERK  
 04886 04887  
 (0004) 43-9061-02, 3 (2.0)

**FT. PIERCE SQUAD 2 -01**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 02011  
 (8519) 33-1012-03, 10 (1.0)

**FT. PIERCE SQUAD 4 -02**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 01677  
 (8519) 33-1012-03, 10 (1.0)

**FT. PIERCE SQUAD 1 -01**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 03836  
 (8519) 33-1012-03, 10 (1.0)

**FT. PIERCE SQUAD 3 -03**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 02016  
 (8519) 33-1012-03, 10 (1.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 01084 01877 02634  
 03708 03835 04189  
 (8515) 33-3051-01, 8 (6.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 01091 01251 01873 02004  
 02005 02006 03706 04076  
 (8515) 33-3051-01, 8 (8.0)

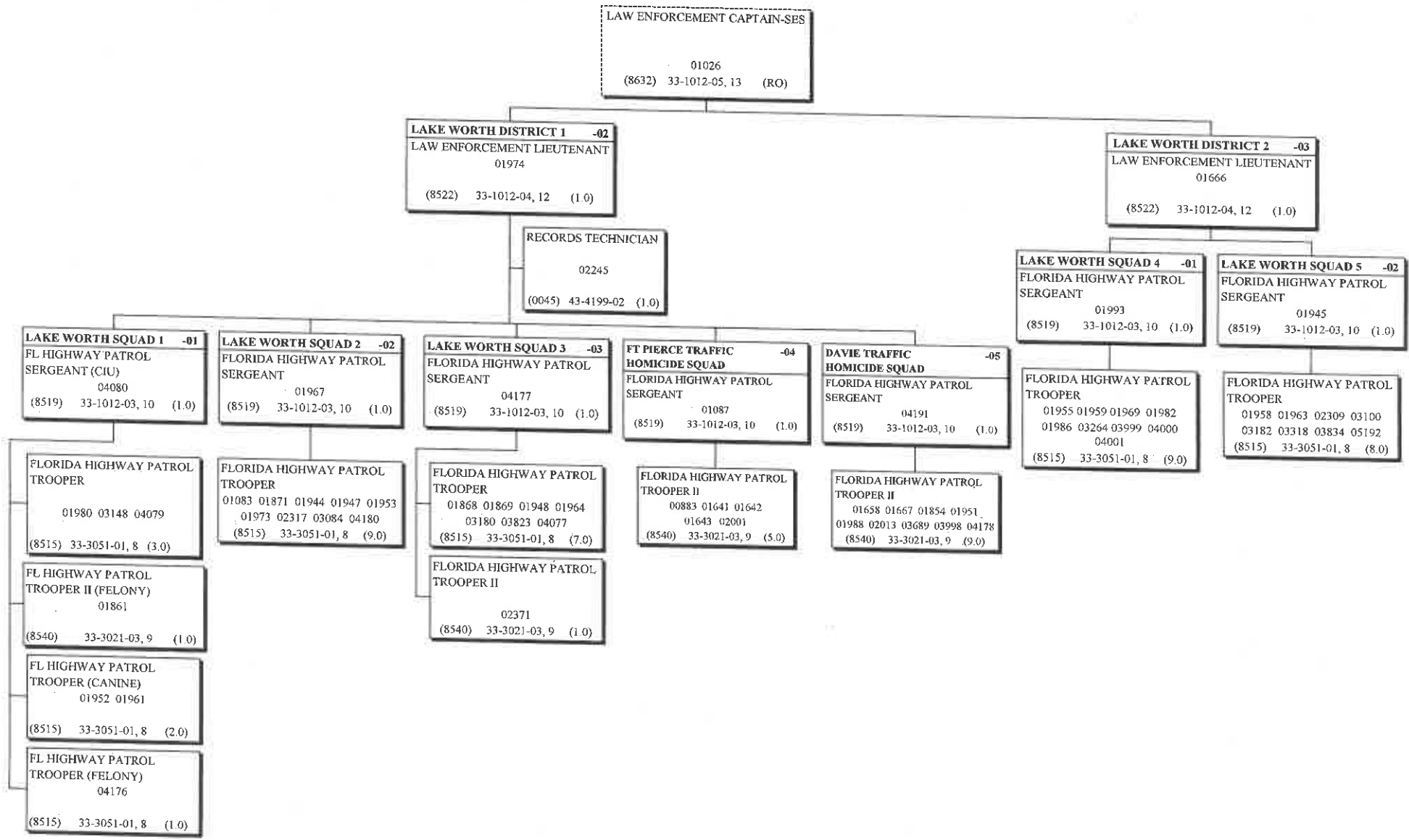
FLORIDA HIGHWAY PATROL  
 TROOPER  
 01612 01882 01894 02015  
 (8515) 33-3051-01, 8 (4.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 01885 02002 02007  
 02012 02019 04846  
 (8515) 33-3051-01, 8 (6.0)

FLORIDA HIGHWAY PATROL  
 TROOPER II  
 05191  
 (8540) 33-3021-03, 9 (1.0)

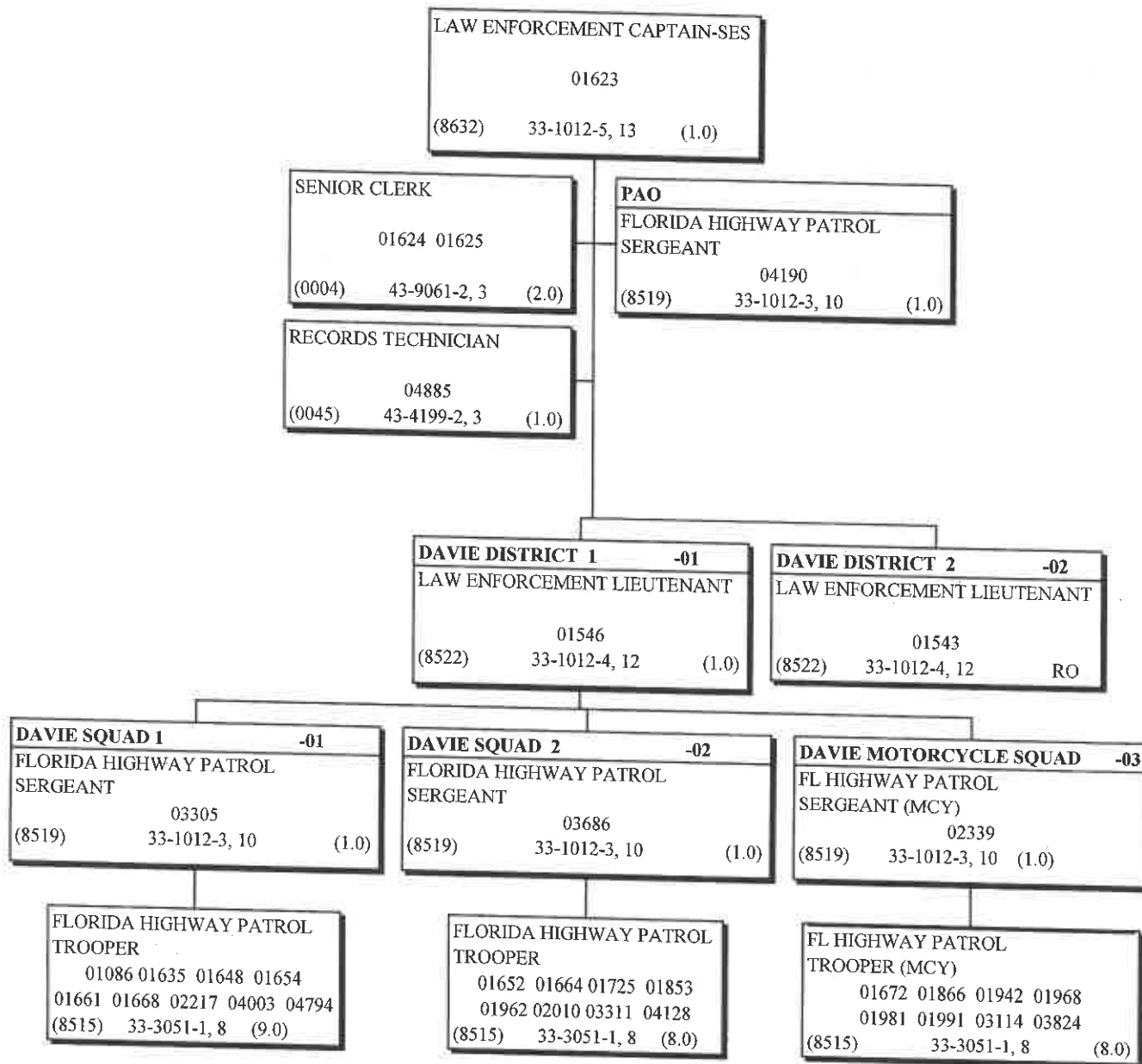
DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP L / LAKE WORTH DISTRICTS

DATE: 03/01/2016  
 SEQUENCE: 7610-02-03-03-02  
 OED: *APM*  
 NUMBER OF POSITIONS: 65  
 NUMBER OF FTES: 65.0



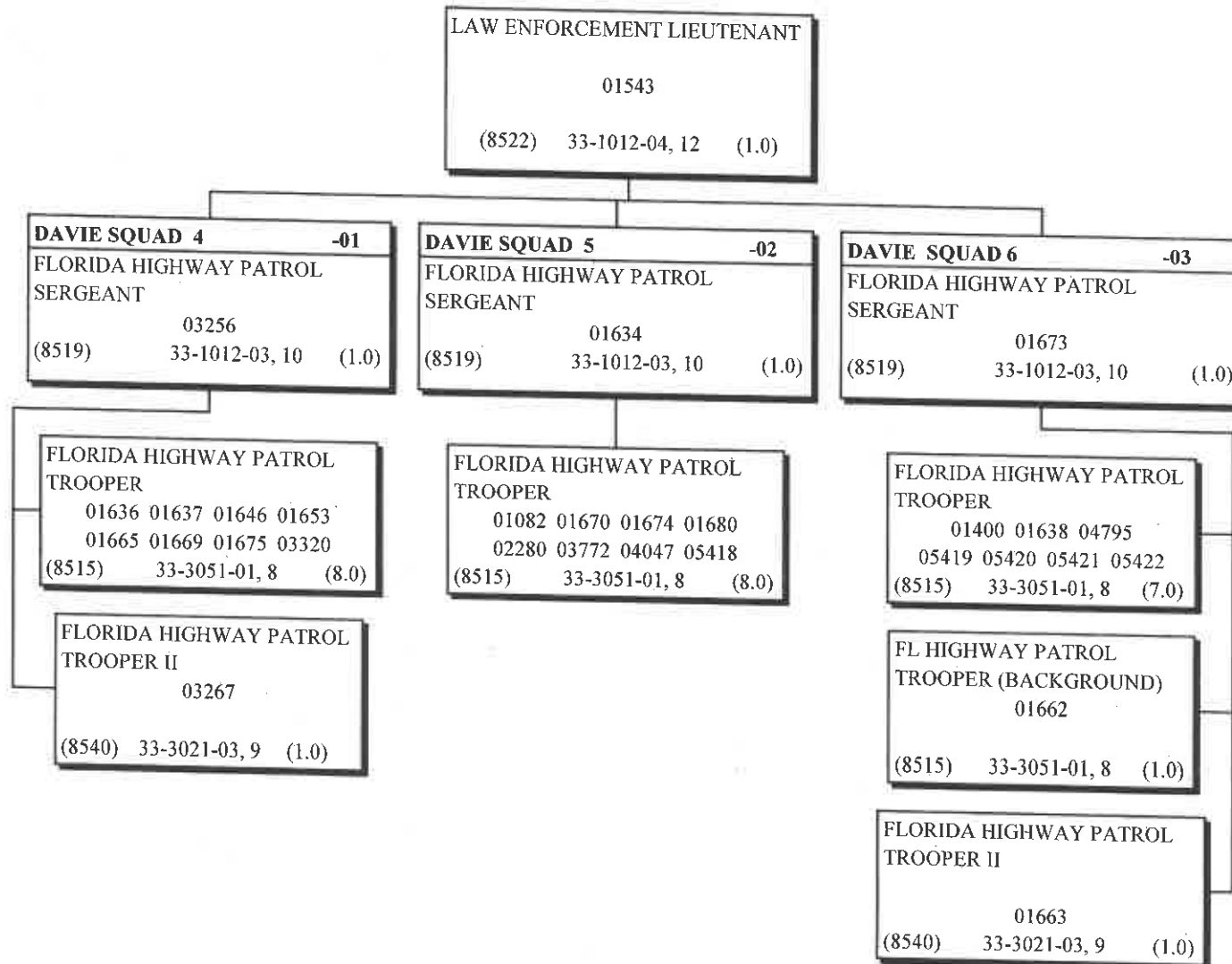
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP L / DAVIE DISTRICT**

DATE: 07/01/2015  
 SEQUENCE: 7610-02-03-03-03  
 OED: APM  
 NUMBER OF POSITIONS: 34  
 NUMBER OF FTE'S: 34.0



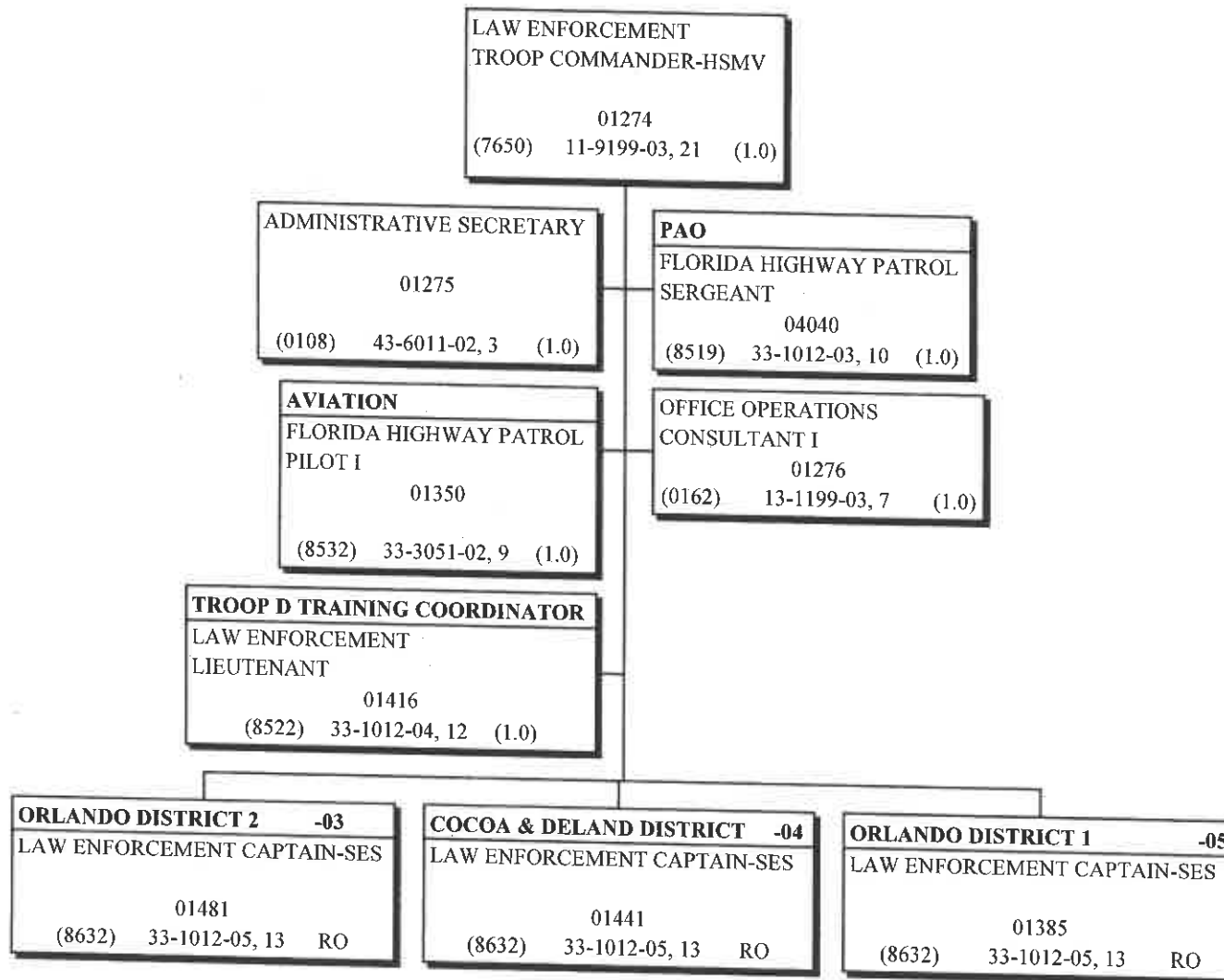
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS COMMAND, SOUTHERN REGION  
 TROOP L / DAVIE DISTRICT 2**

DATE: 03/01/2016  
 SEQUENCE: 7610-02-03-03-03-02  
 OED: AAW  
 NUMBER OF POSITIONS: 30  
 NUMBER OF FTE'S: 30.0



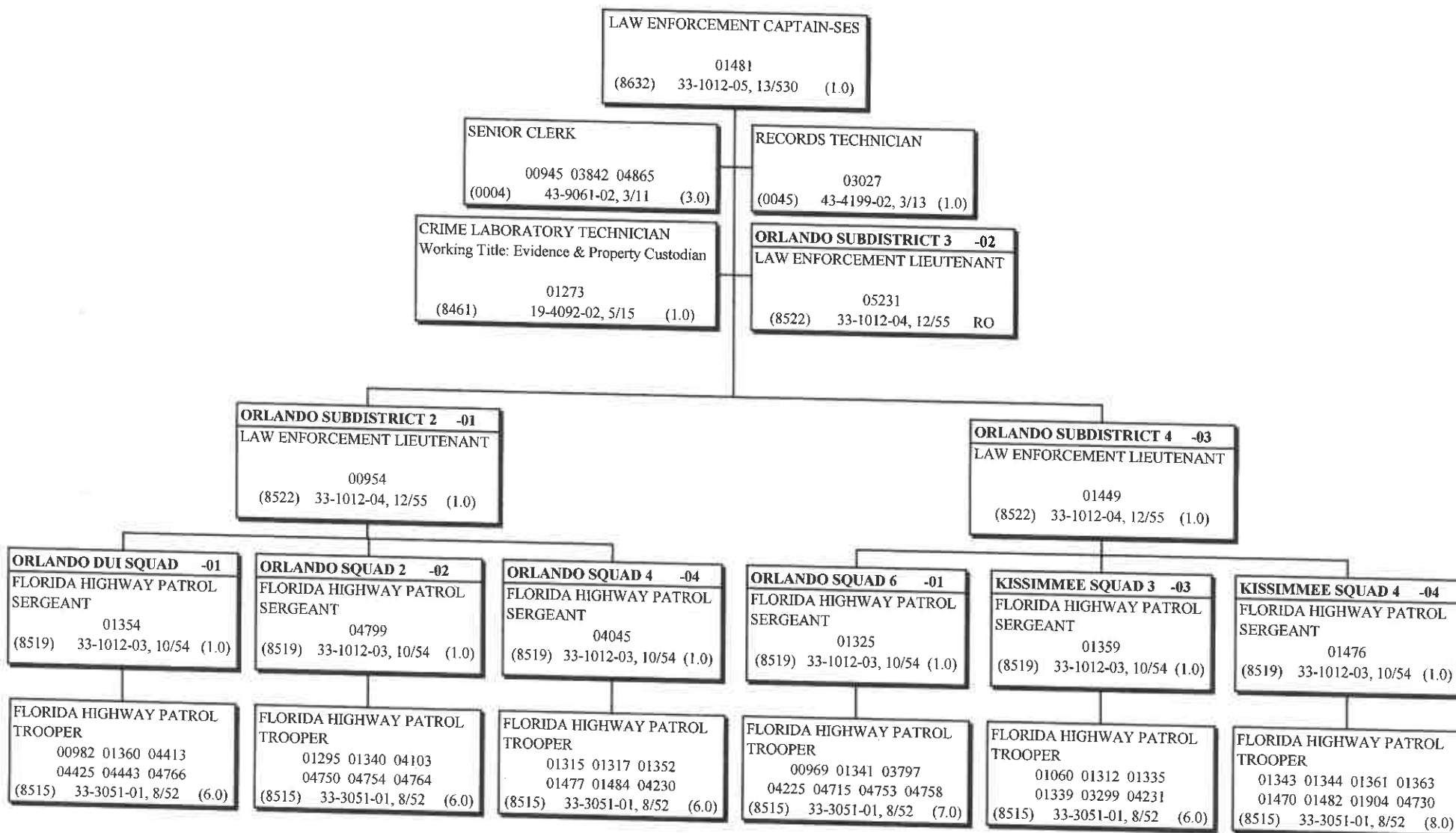
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP D / ORLANDO HEADQUARTERS**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-03-04  
 OED: APM  
 NUMBER OF POSITIONS: 6  
 NUMBER OF FTE'S: 6.0



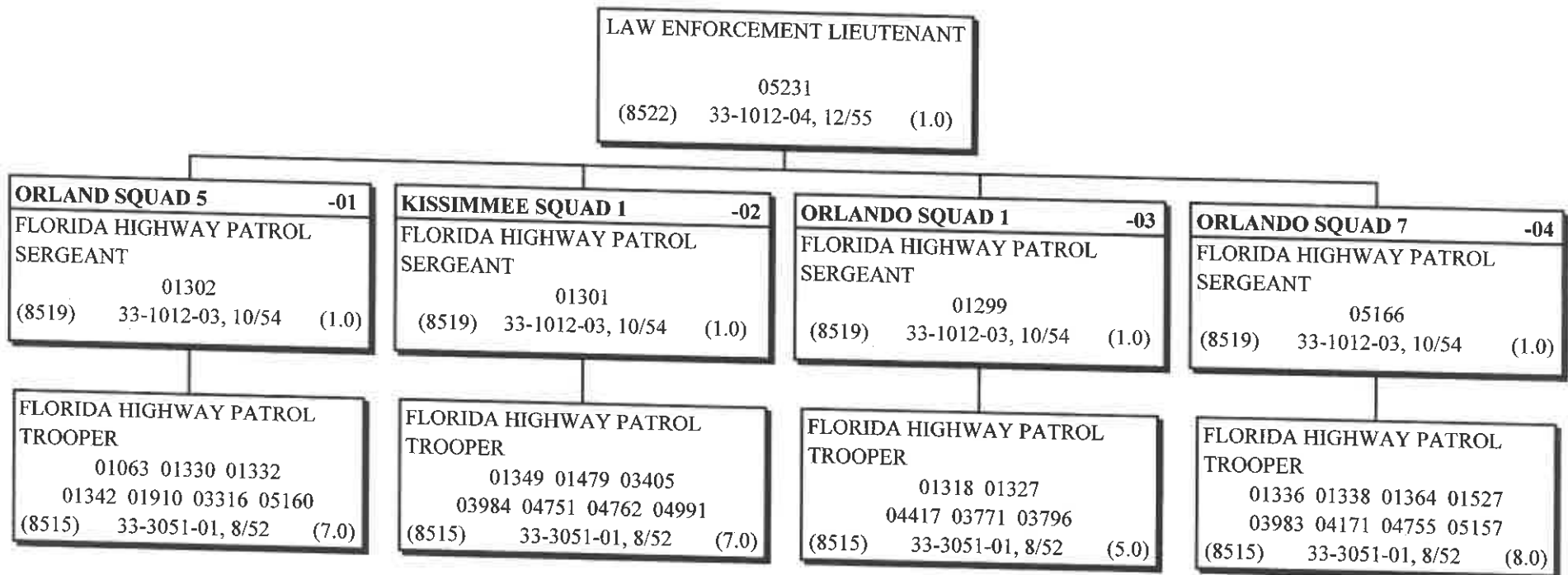
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP D / ORLANDO DISTRICT 2**

DATE: 04/01/2016  
 SEQUENCE: 7610-02-03-04-03  
 OED: *ARM*  
 NUMBER OF POSITIONS: 53  
 NUMBER OF FTE'S: 53.0



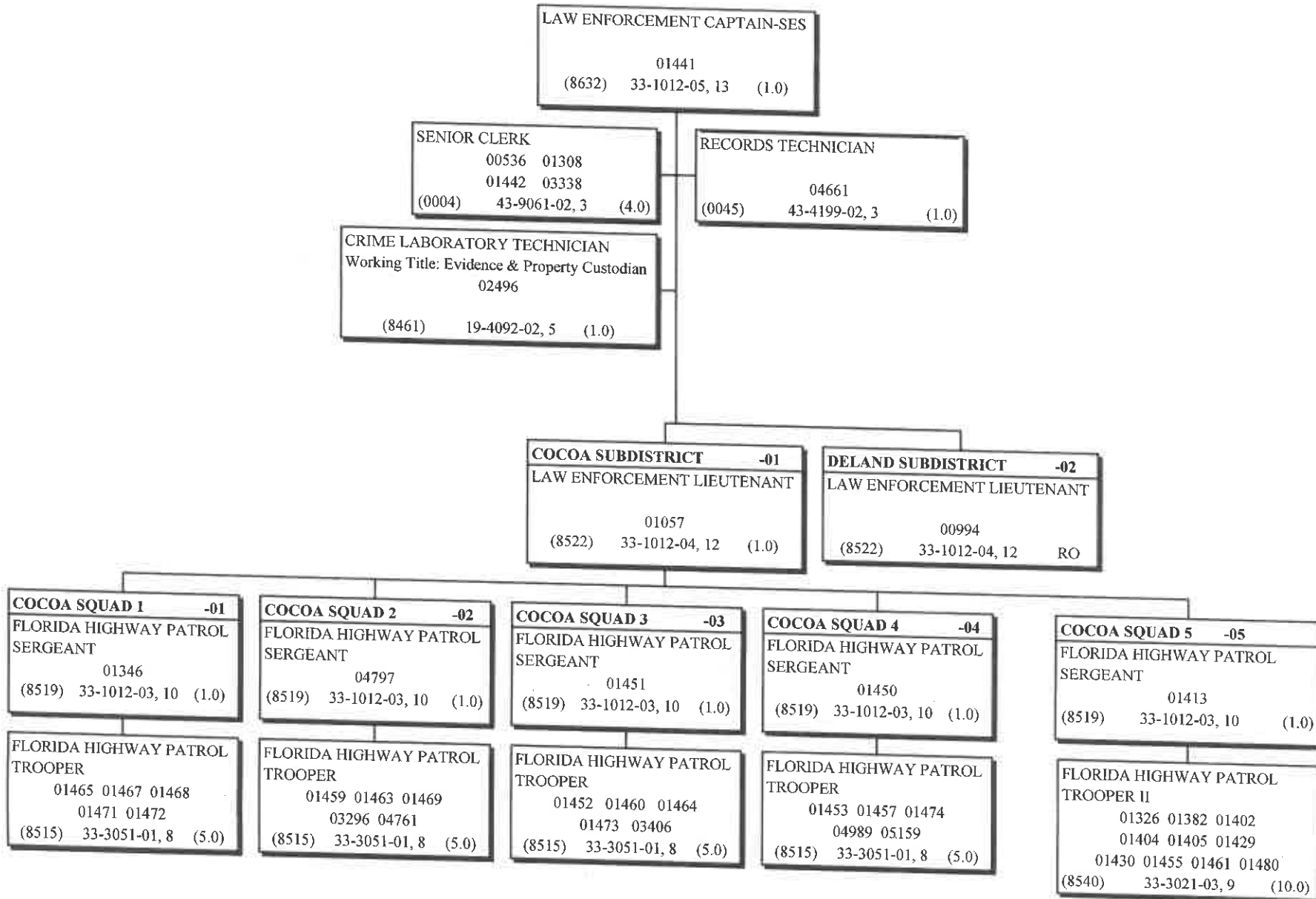
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP D / ORLANDO DISTRICT 2 / ORLANDO SUBDISTRICT 3**

DATE: 04 01/2016  
 SEQUENCE: 7610-02-03-04-03-02  
 OED: *JPM*  
 NUMBER OF POSITIONS: 32  
 NUMBER OF FTE'S: 32.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP D / COCOA & DELAND DISTRICT**

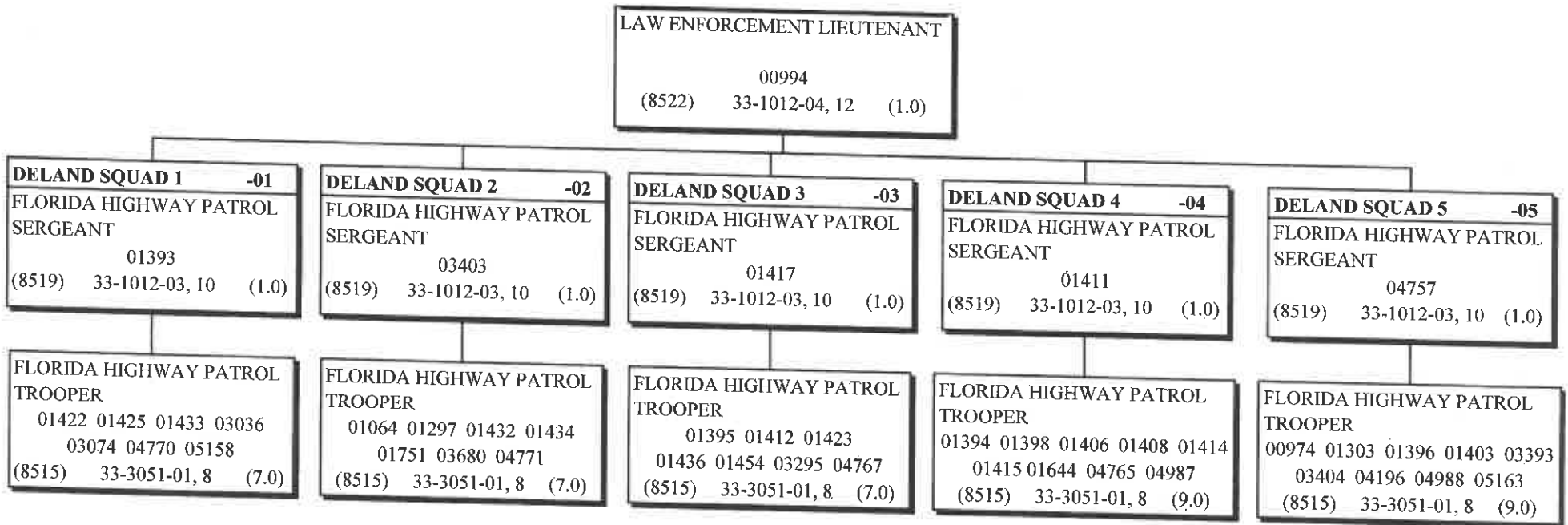
DATE: 08/11/2015  
 SEQUENCE: 7610-02-03-04-04  
 OED: Apm  
 NUMBER OF POSITIONS: 43  
 NUMBER OF FTE'S: 43.0





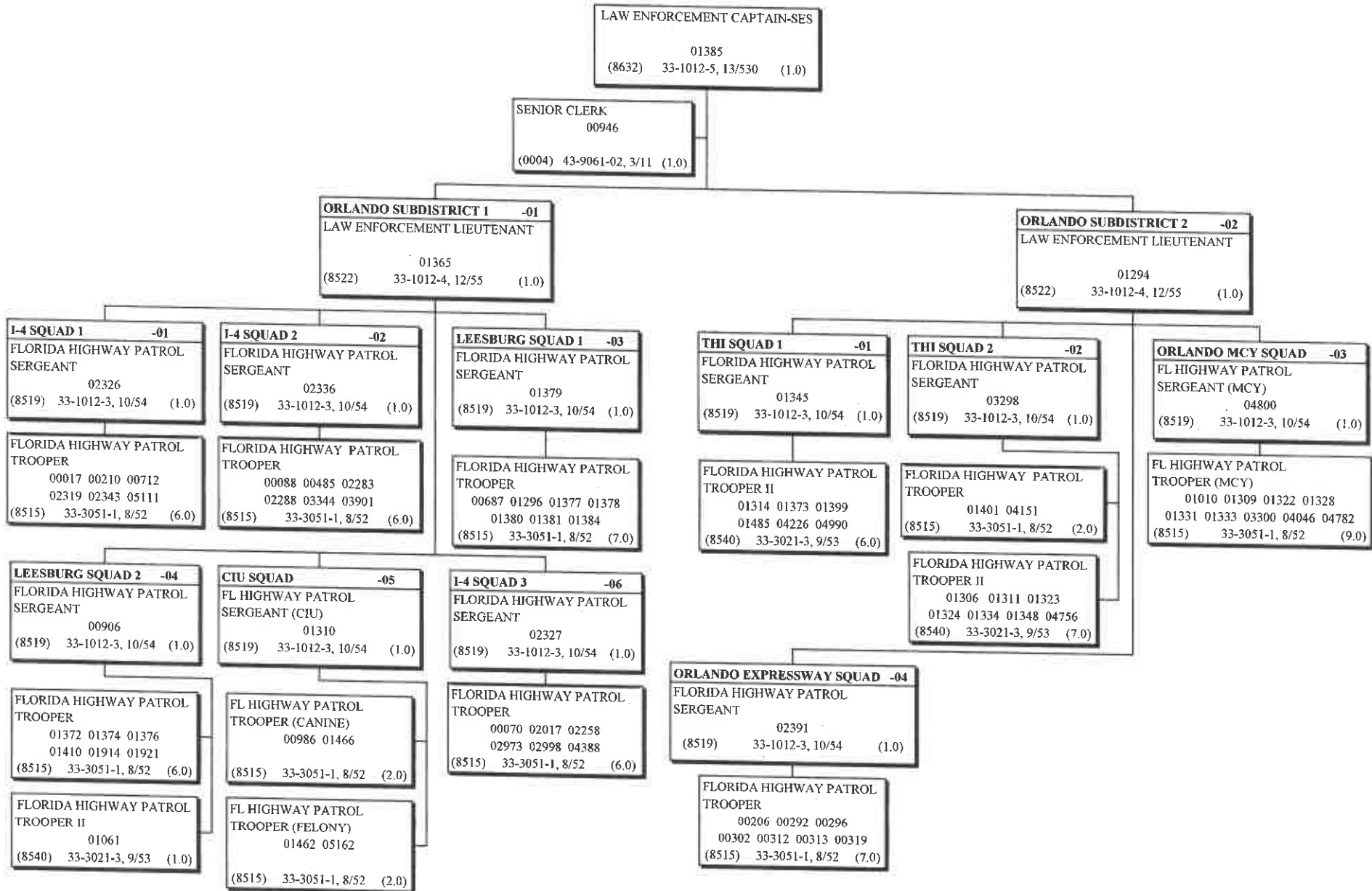
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP D / COCOA & DELAND DISTRICT / DELAND SUBDISTRICT**

DATE: 06/01/2015  
 SEQUENCE: 7610-02-03-04-04-02  
 OED: *APM*  
 NUMBER OF POSITIONS: 45  
 NUMBER OF FTES: 45.0



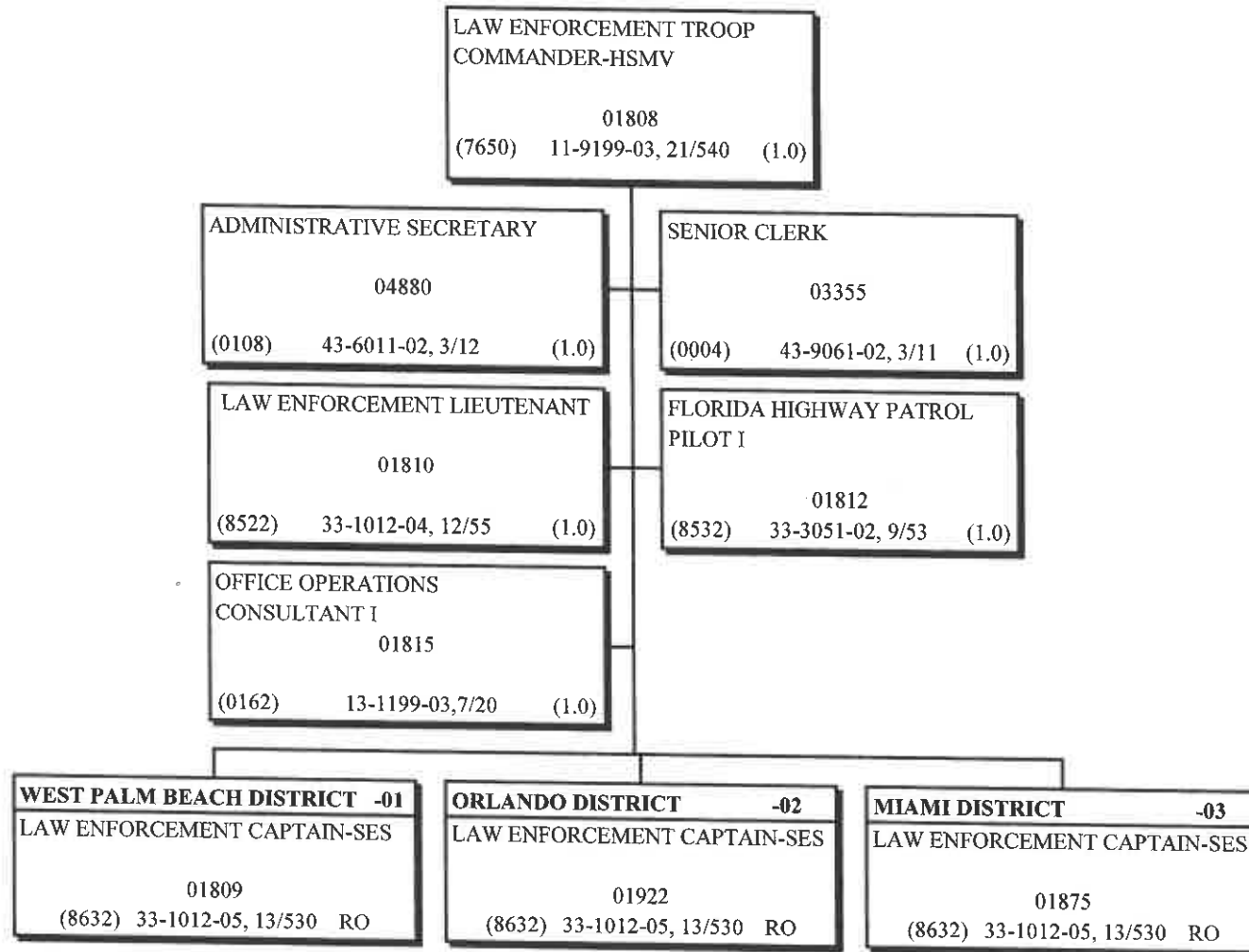
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS, SOUTHERN REGION  
TROOP D / ORLANDO DISTRICT 1**

DATE: 05/01/2016  
SEQUENCE: 10-02-03-04-05  
OED: APM  
NUMBER OF POSITIONS: 81  
NUMBER OF FTE'S: 81.0



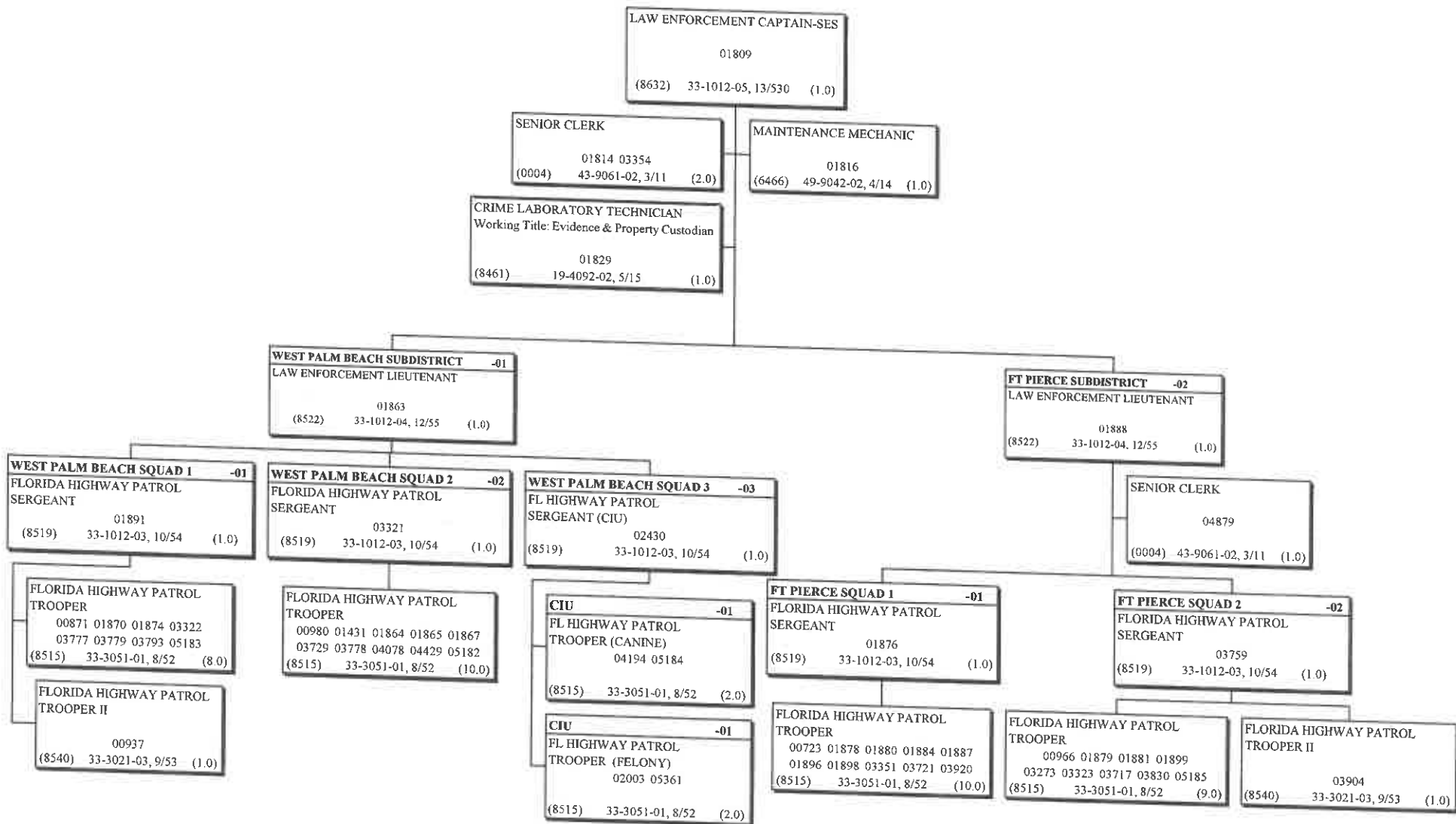
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP K / TURNPIKE / ORLANDO HEADQUARTERS**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-06  
 OED: APM  
 NUMBER OF POSITIONS: 6  
 NUMBER OF FTE'S: 6.0



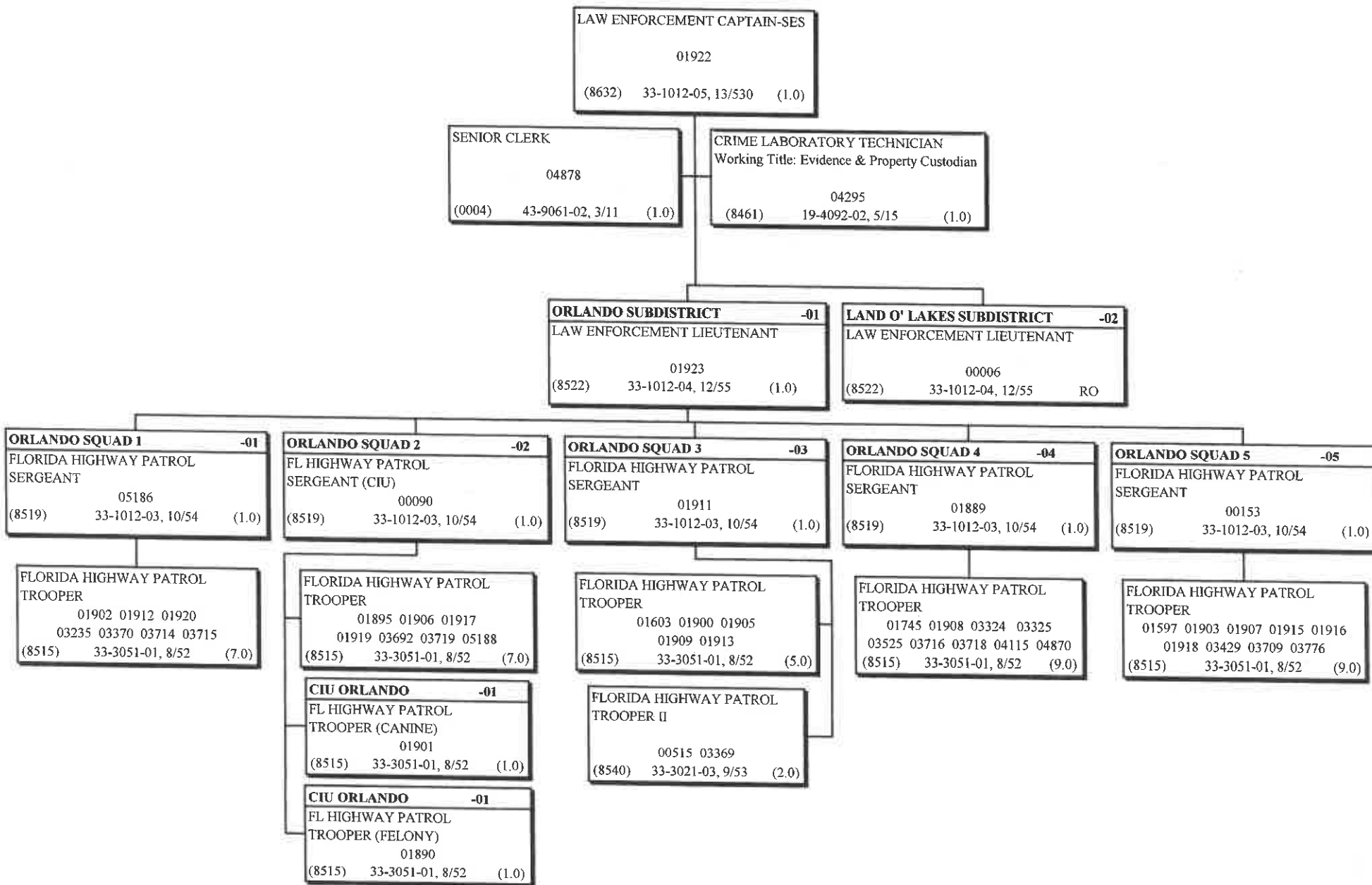
DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP K / TURNPIKE / WEST PALM BEACH DISTRICT

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-06-01  
 OED: DDM  
 NUMBER OF POSITIONS: 56  
 NUMBER OF FTES: 56.0



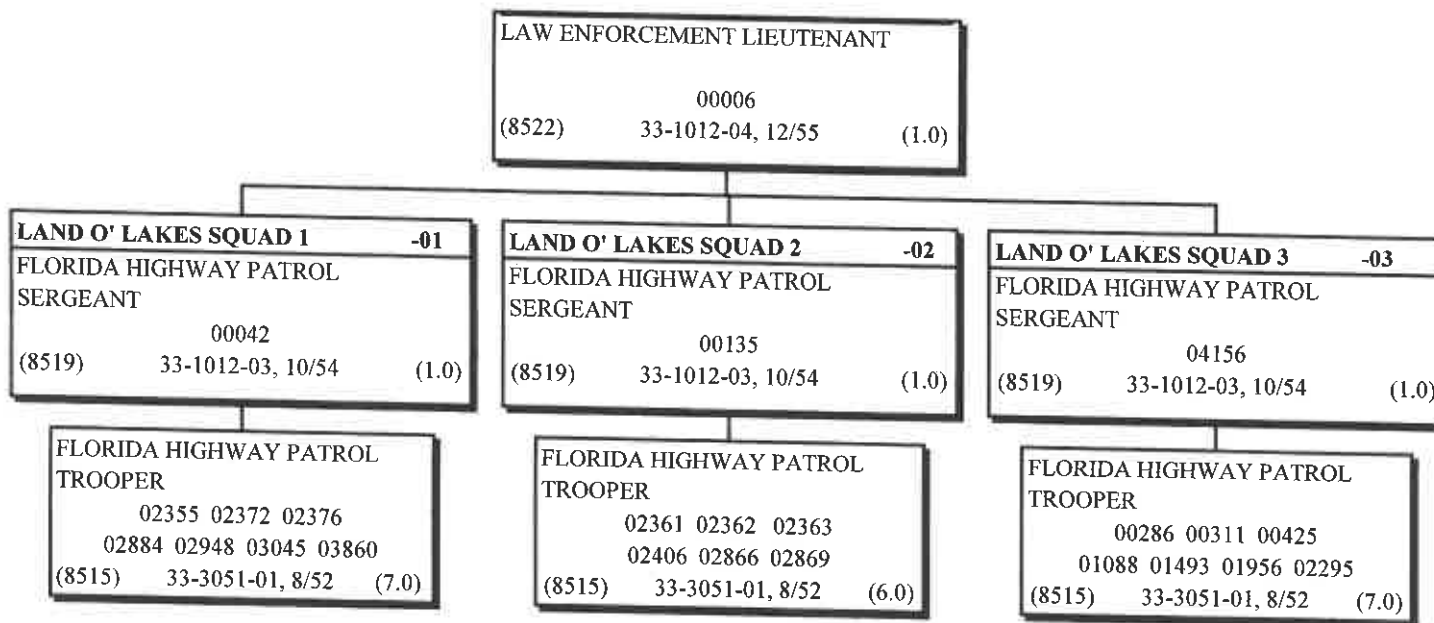
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
PATROL OPERATIONS, SOUTHERN REGION  
TROOP K / TURNPIKE / ORLANDO DISTRICT**

DATE: 06/01/2016  
SEQUENCE: 7610-02-03-06-02  
OED: *APM*  
NUMBER OF POSITIONS: 50  
NUMBER OF FTES: 50.0



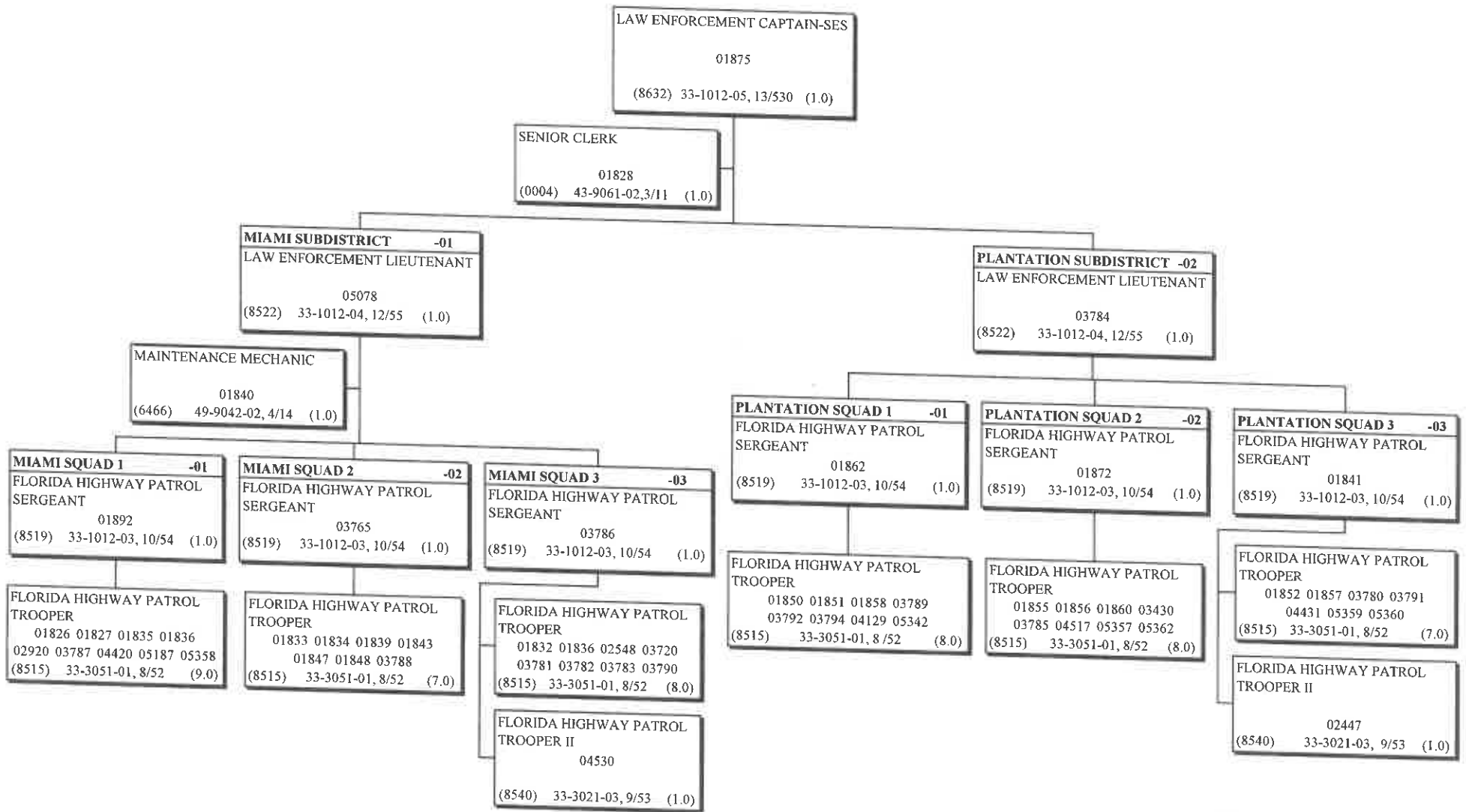
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP K / TURNPIKE / ORLANDO DISTRICT /  
 LAND O' LAKES SUBDISTRICT**

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-06-02-02  
 OED: ADM  
 NUMBER OF POSITIONS: 24  
 NUMBER OF fle'S: 24.0



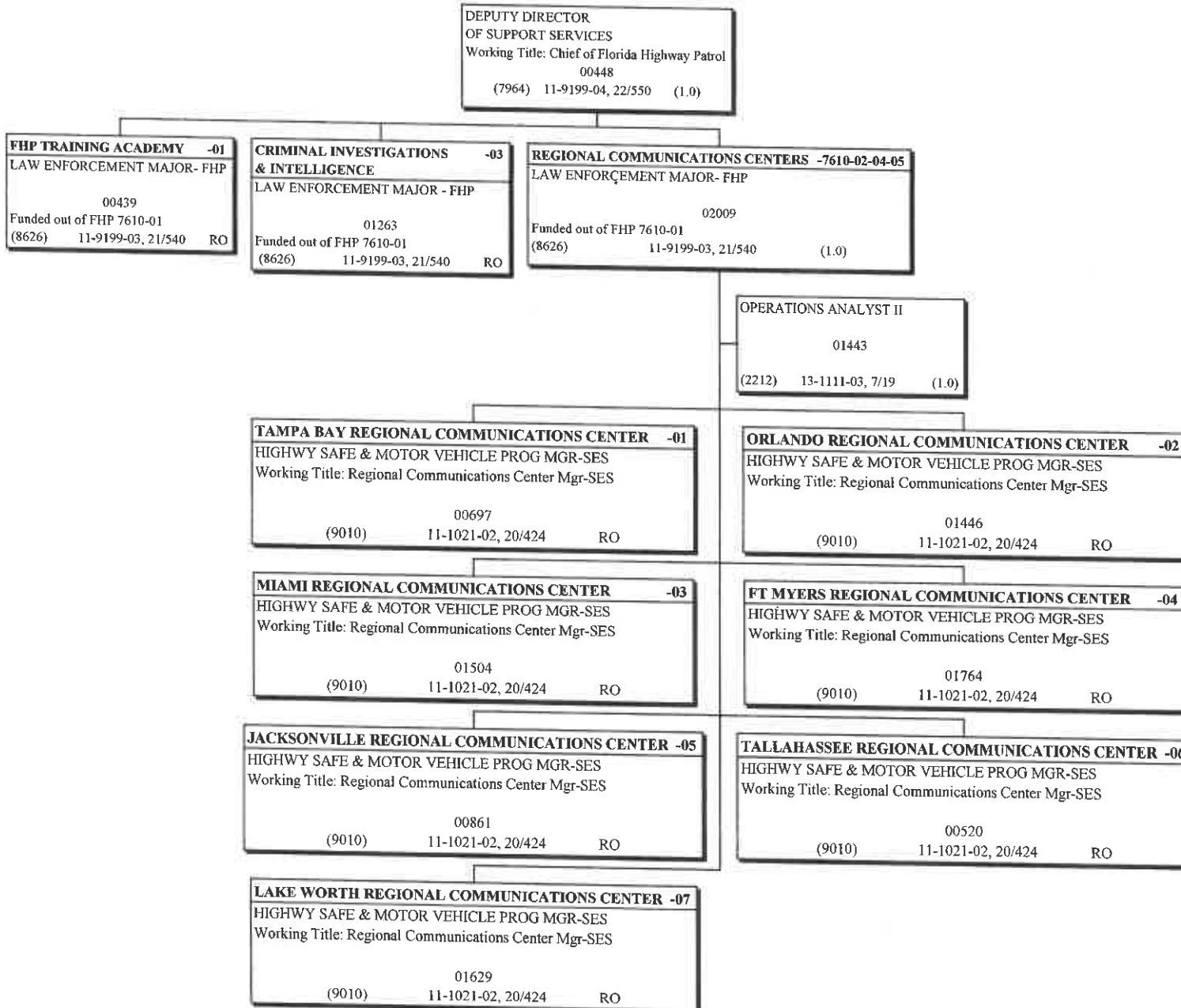
DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 PATROL OPERATIONS, SOUTHERN REGION  
 TROOP K / TURNPIKE / MIAMI DISTRICT

DATE: 06/01/2016  
 SEQUENCE: 7610-02-03-06-03  
 OED: APM  
 NUMBER OF POSITIONS: 60  
 NUMBER OF FTES: 60.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
SPECIAL SERVICES COMMAND**

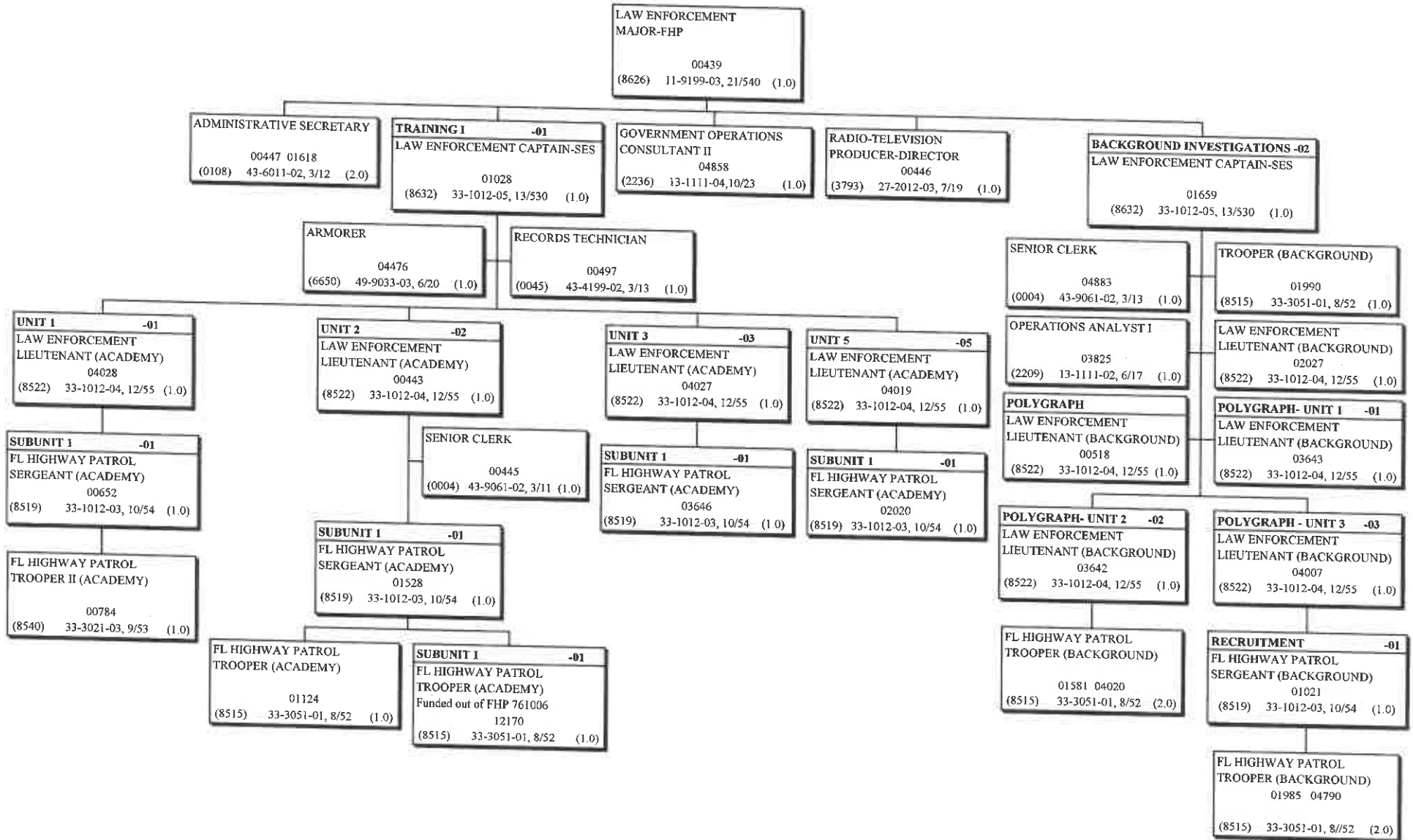
DATE: 04/13/2016  
SEQUENCE: 7610-03  
OED: *APM*  
NUMBER OF POSITIONS: 3  
NUMBER OF FTES: 3.0





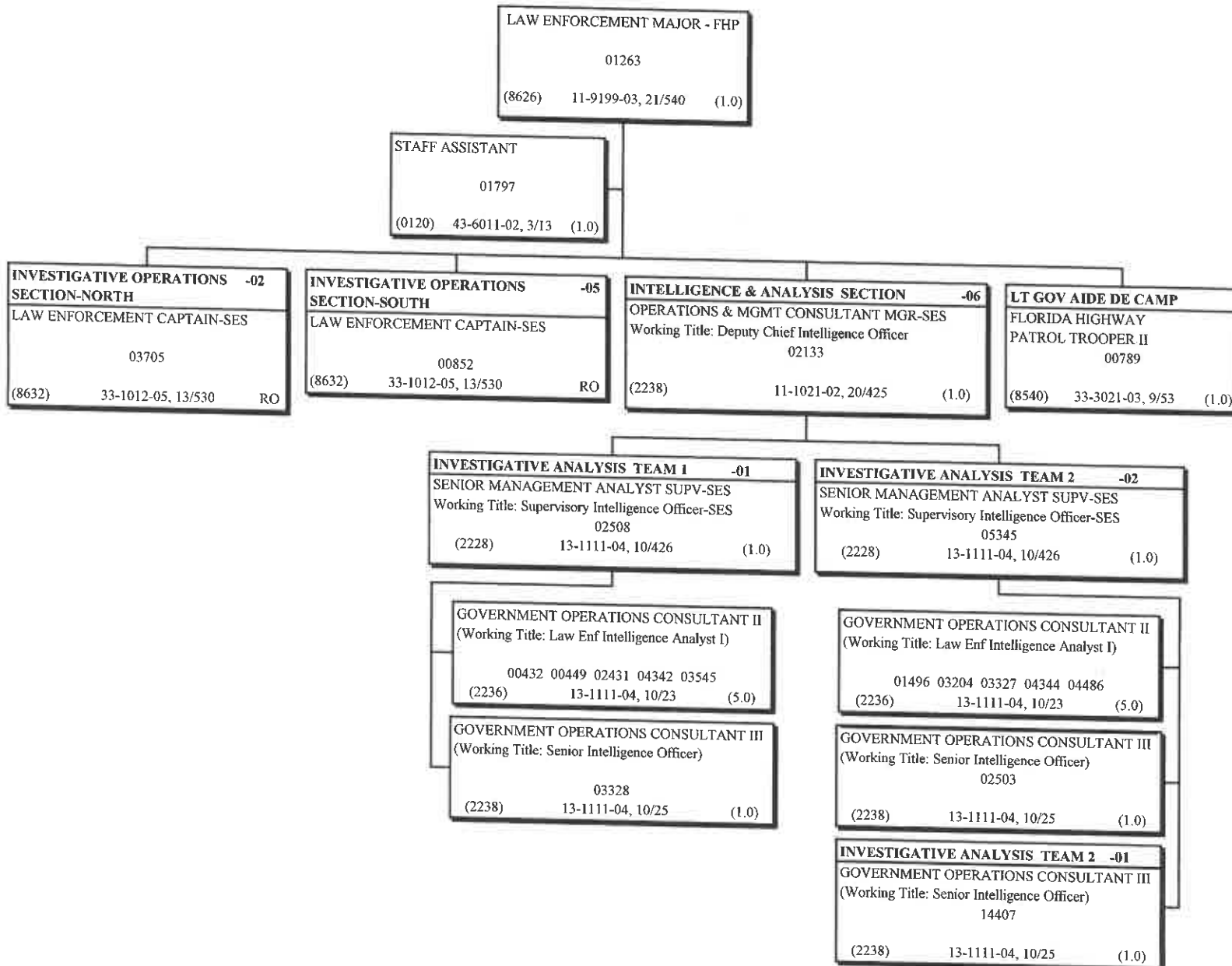
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
SPECIAL SERVICES COMMAND -  
FHP TRAINING ACADEMY & FHP SELECTION**

DATE: 06/03/2016  
SEQUENCE: 7610-03-01  
OED: *APM*  
NUMBER OF POSITIONS: 34  
NUMBER OF FTE'S: 34.0



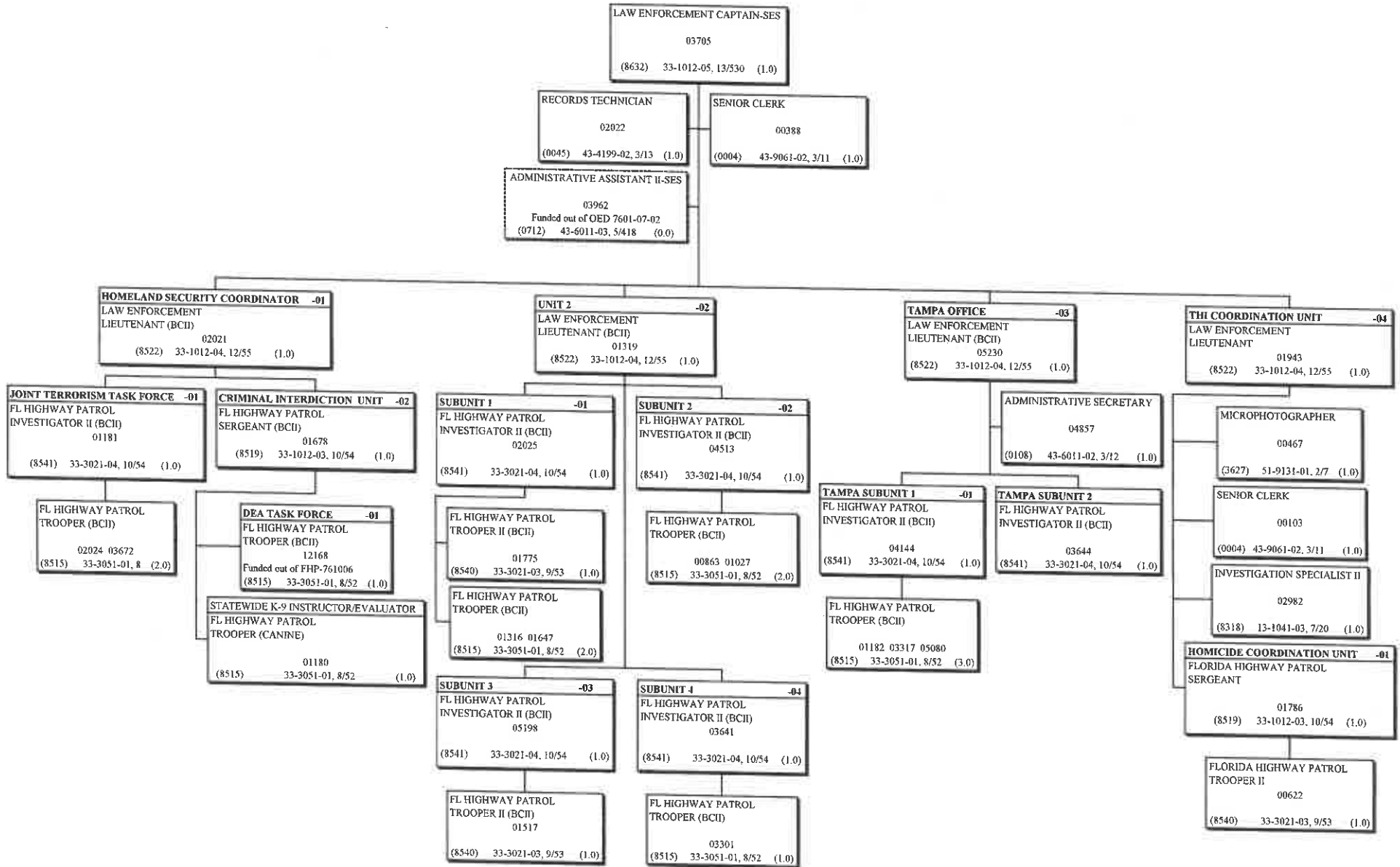
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 SPECIAL SERVICES COMMAND  
 BUREAU OF CRIMINAL INVESTIGATIONS & INTELLIGENCE**

DATE: 12/01/2015  
 SEQUENCE: 7610-03-03  
 OED:  
 NUMBER OF POSITIONS: 19  
 NUMBER OF FTES: 19.0



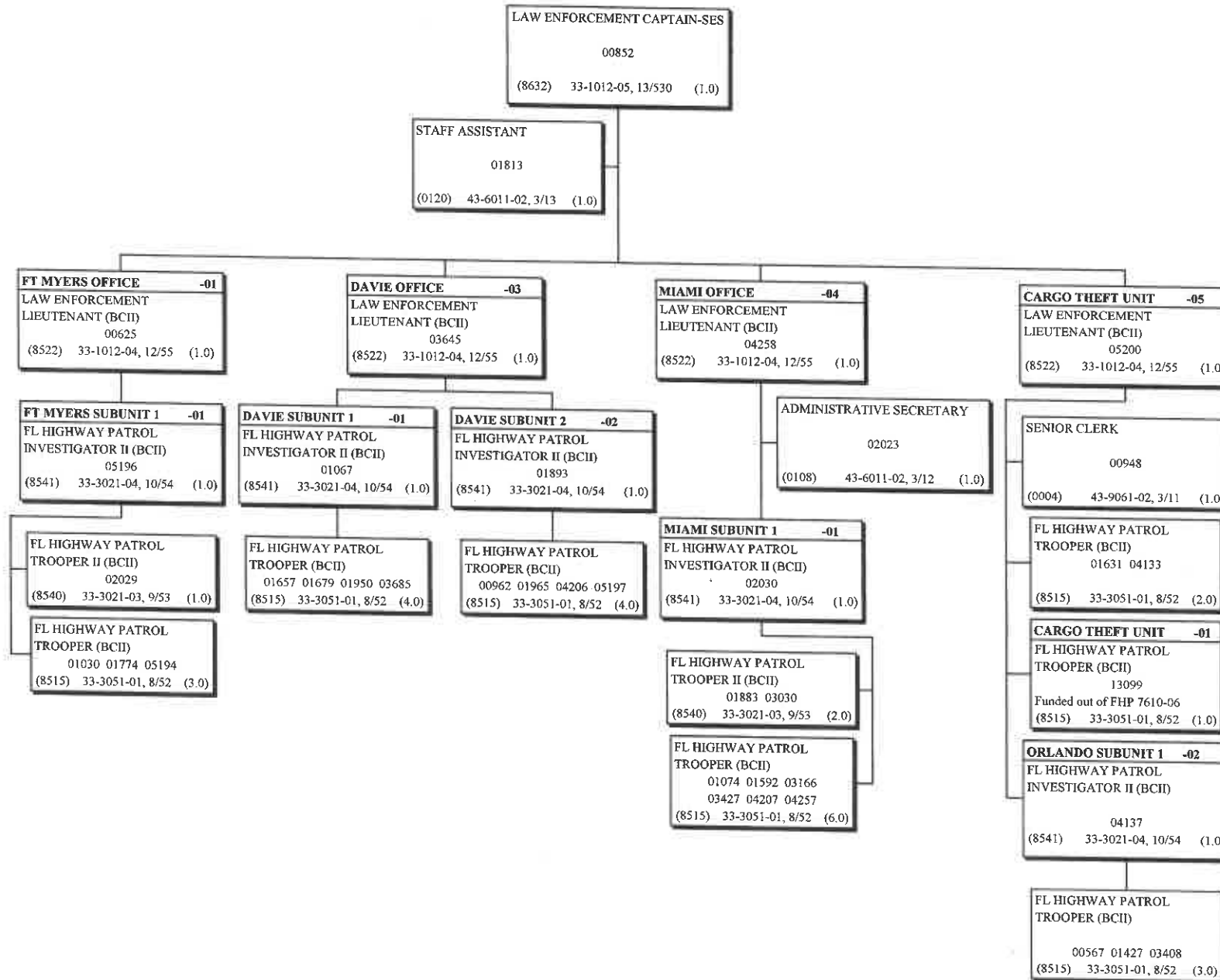
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
SPECIAL SERVICES COMMAND  
BCII, INVESTIGATIVE OPERATIONS SECTION-NORTH**

DATE: 06/01/2016  
SEQUENCE: 7610-03-03-02  
OED: *APM*  
NUMBER OF POSITIONS: 35  
NUMBER OF FTE'S: 35.0



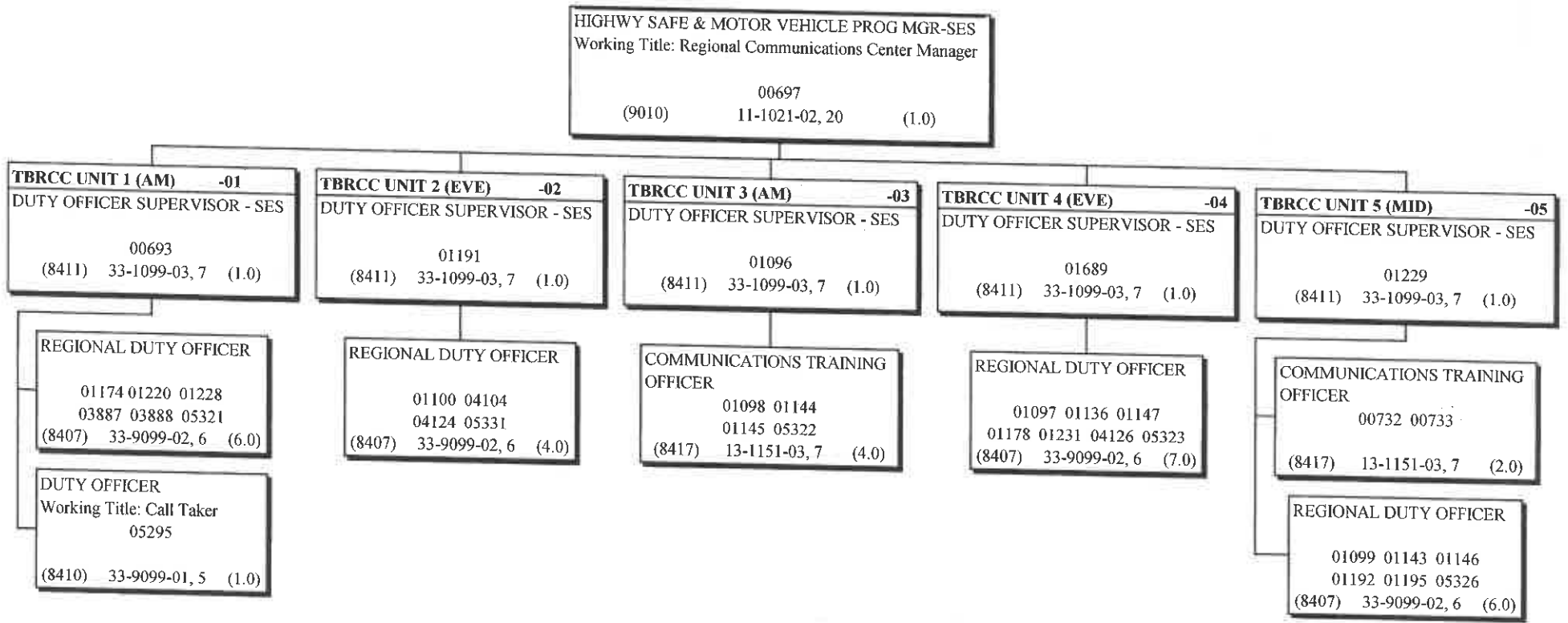
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
SPECIAL SERVICES COMMAND  
BCII, INVESTIGATIVE OPERATIONS SECTION-SOUTH**

DATE: 05/01/2016  
 SEQUENCE: 7610-03-03-05  
 OED: *APM*  
 NUMBER OF POSITIONS: 39  
 NUMBER OF FTE'S: 39.0



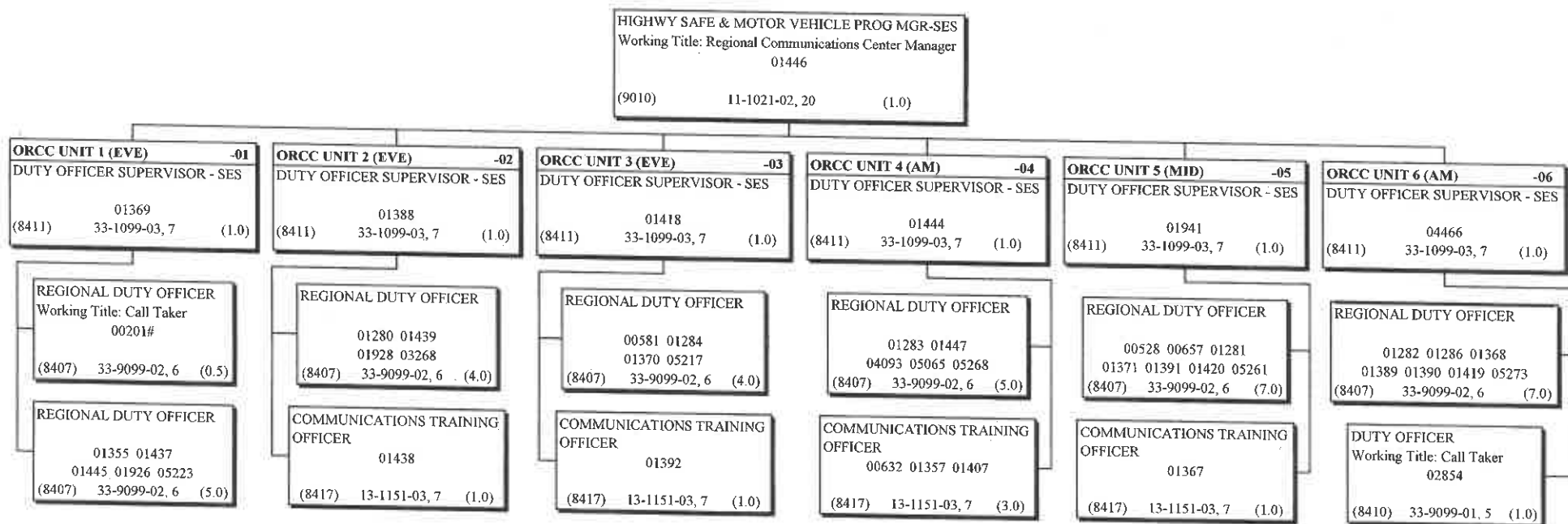
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
 TAMPA BAY REGIONAL COMMUNICATIONS CENTER**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-04-05-01  
 OED: *APM*  
 NUMBER OF POSITIONS: 36  
 NUMBER OF FTES: 36.0



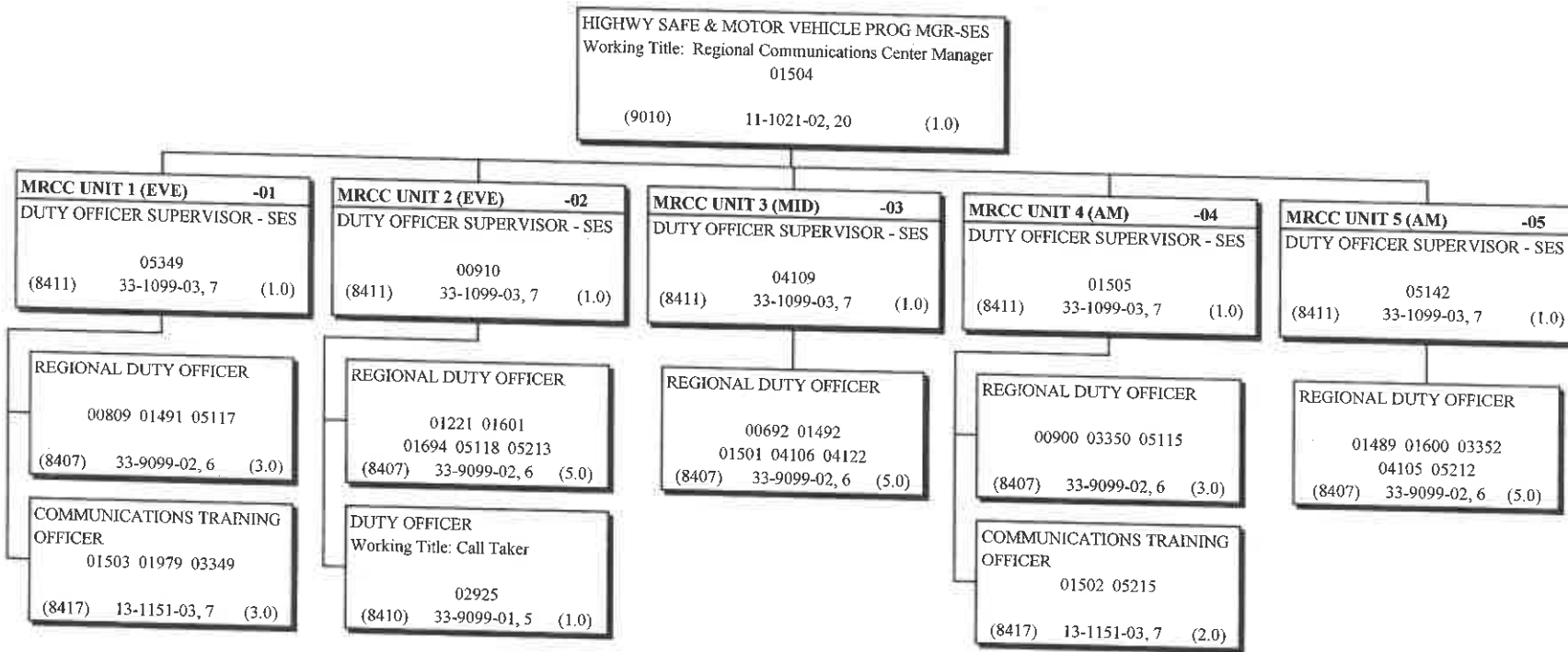
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
ORLANDO REGIONAL COMMUNICATIONS CENTER**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-04-05-02  
 OED: *APM*  
 NUMBER OF POSITIONS: 47  
 NUMBER OF FTES: 46.50



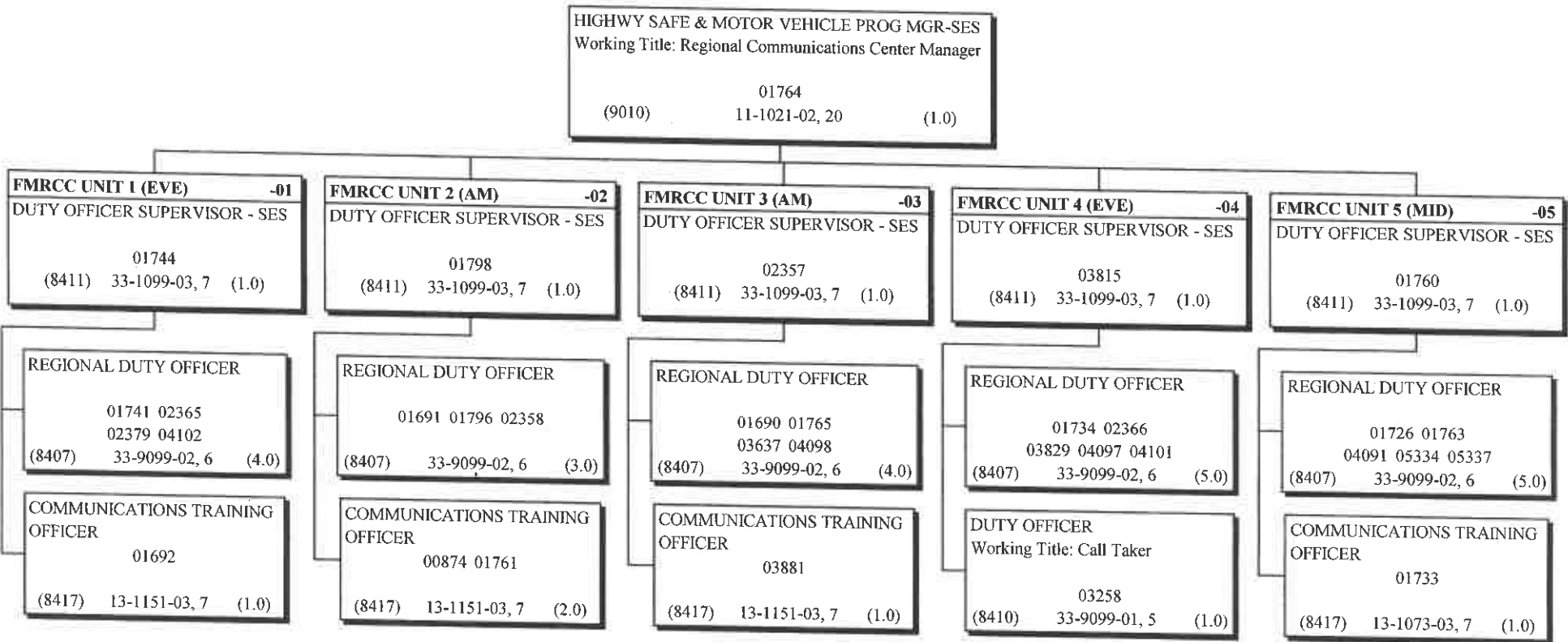
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
 MIAMI REGIONAL COMMUNICATIONS CENTER**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-04-05-03  
 OED: APM  
 NUMBER OF POSITIONS: 33  
 NUMBER OF FTE'S: 33.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
 FT MYERS REGIONAL COMMUNICATIONS CENTER**

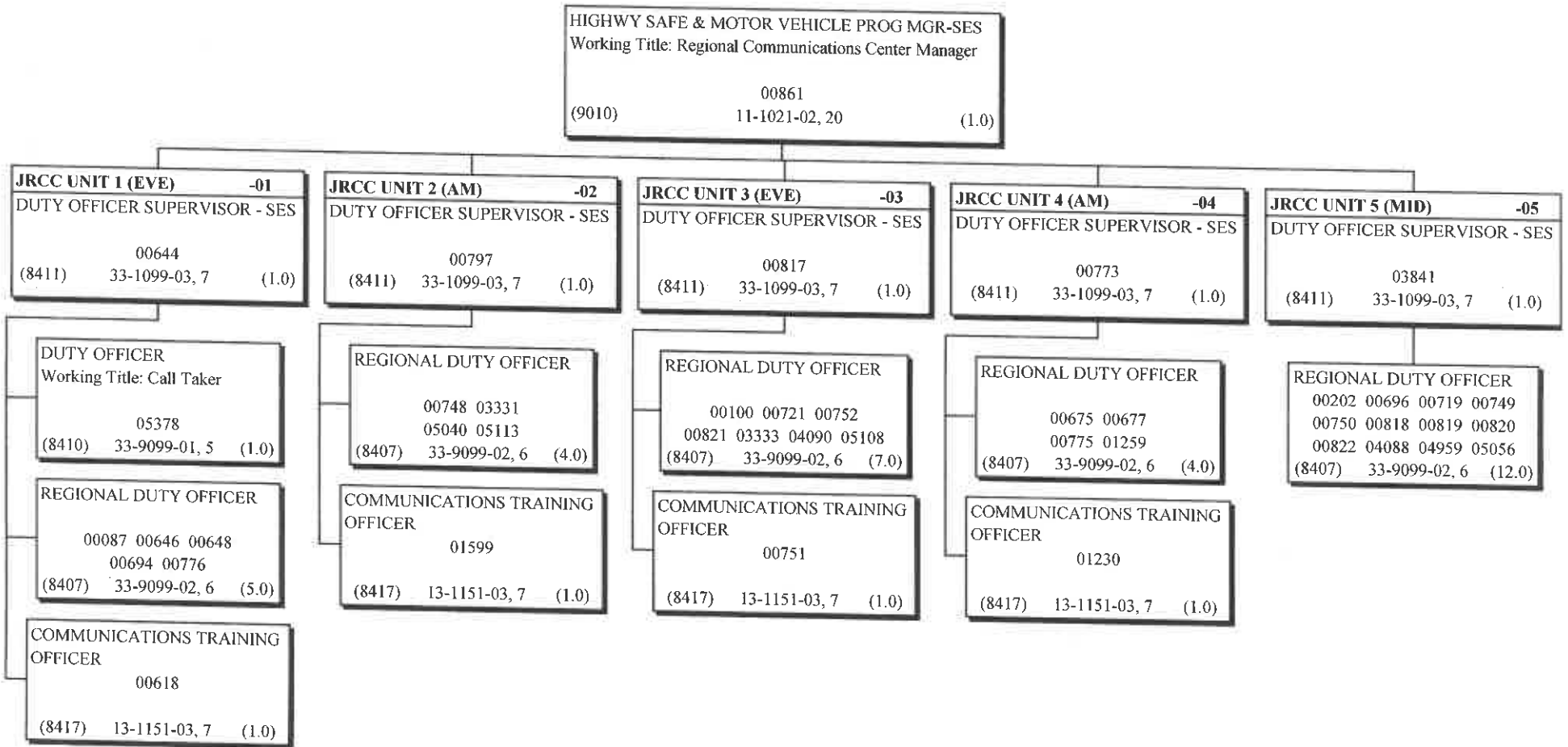
DATE: 02/01/2016  
 SEQUENCE: 7610-02-04-05-04  
 OED: *APM*  
 NUMBER OF POSITIONS: 33  
 NUMBER OF FTE'S: 33.0





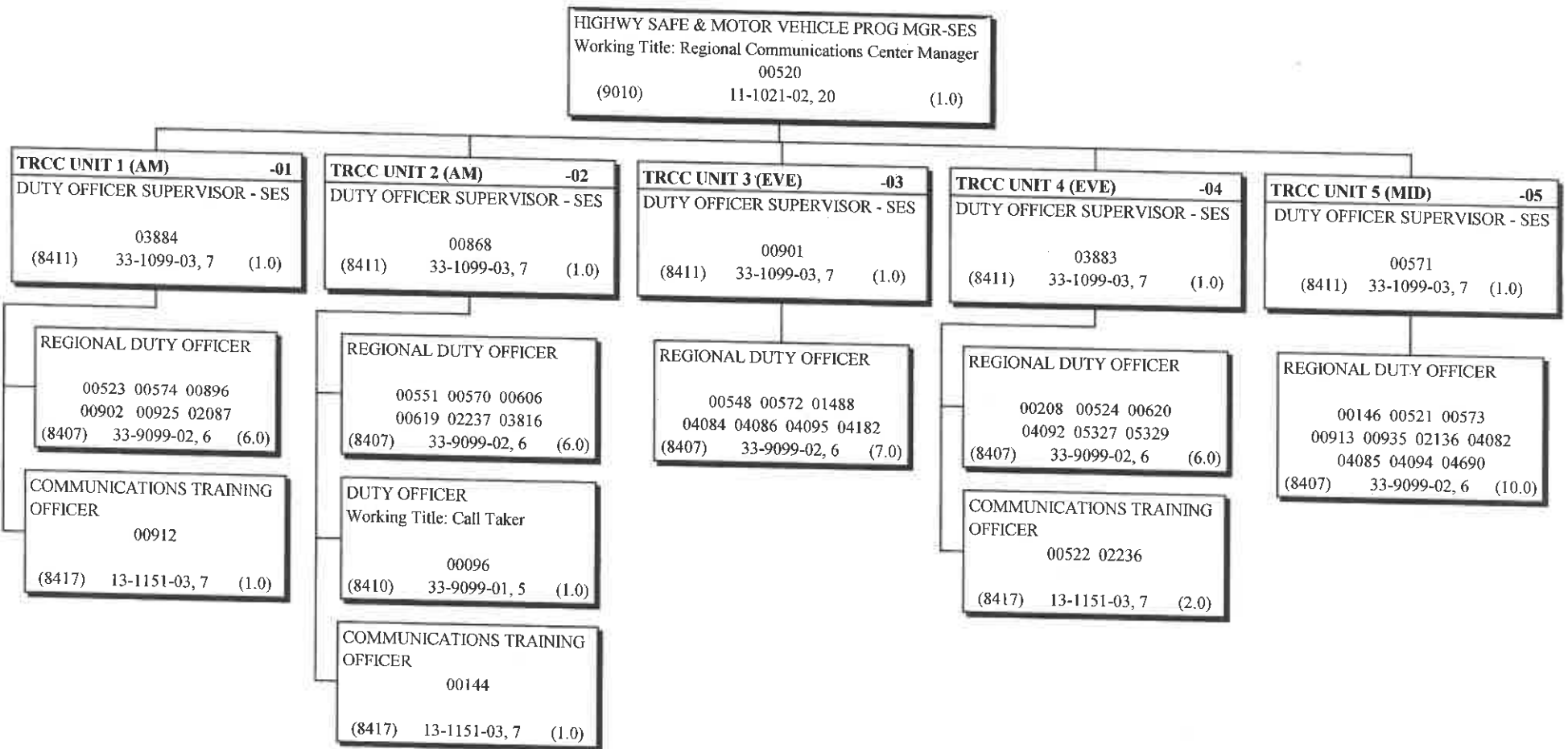
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
 JACKSONVILLE REGIONAL COMMUNICATIONS CENTER**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-04.05.05  
 OED: *APM*  
 NUMBER OF POSITIONS: 43  
 NUMBER OF FTE'S: 43.0



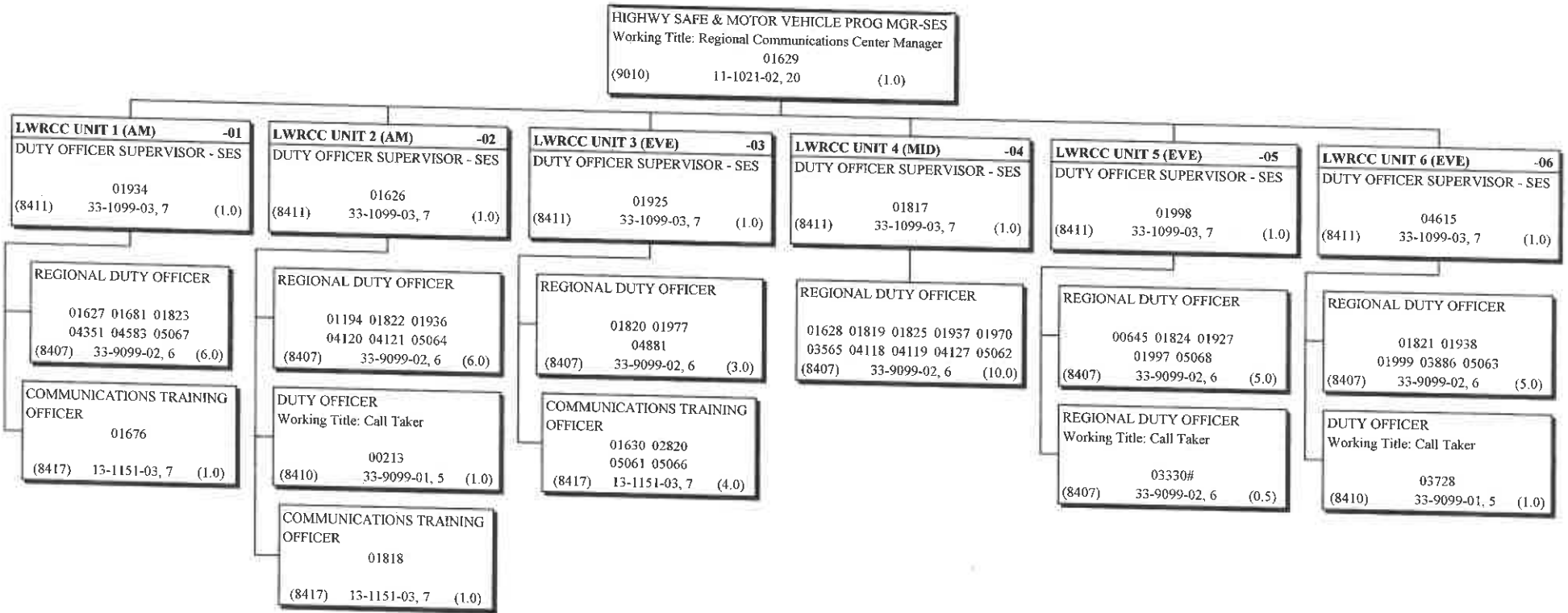
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
TALLAHASSEE REGIONAL COMMUNICATIONS CENTER**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-04-05-06  
 OED: ppm  
 NUMBER OF POSITIONS: 46  
 NUMBER OF FTE'S: 46.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 SPECIAL SERVICES/REGIONAL COMMUNICATIONS CENTERS  
 LAKE WORTH REGIONAL COMMUNICATIONS CENTER**

DATE: 02/01/2016  
 SEQUENCE: 7610-02-04-05-07  
 OED: *APM*  
 NUMBER OF POSITIONS: 51  
 NUMBER OF FTE'S: 50.5

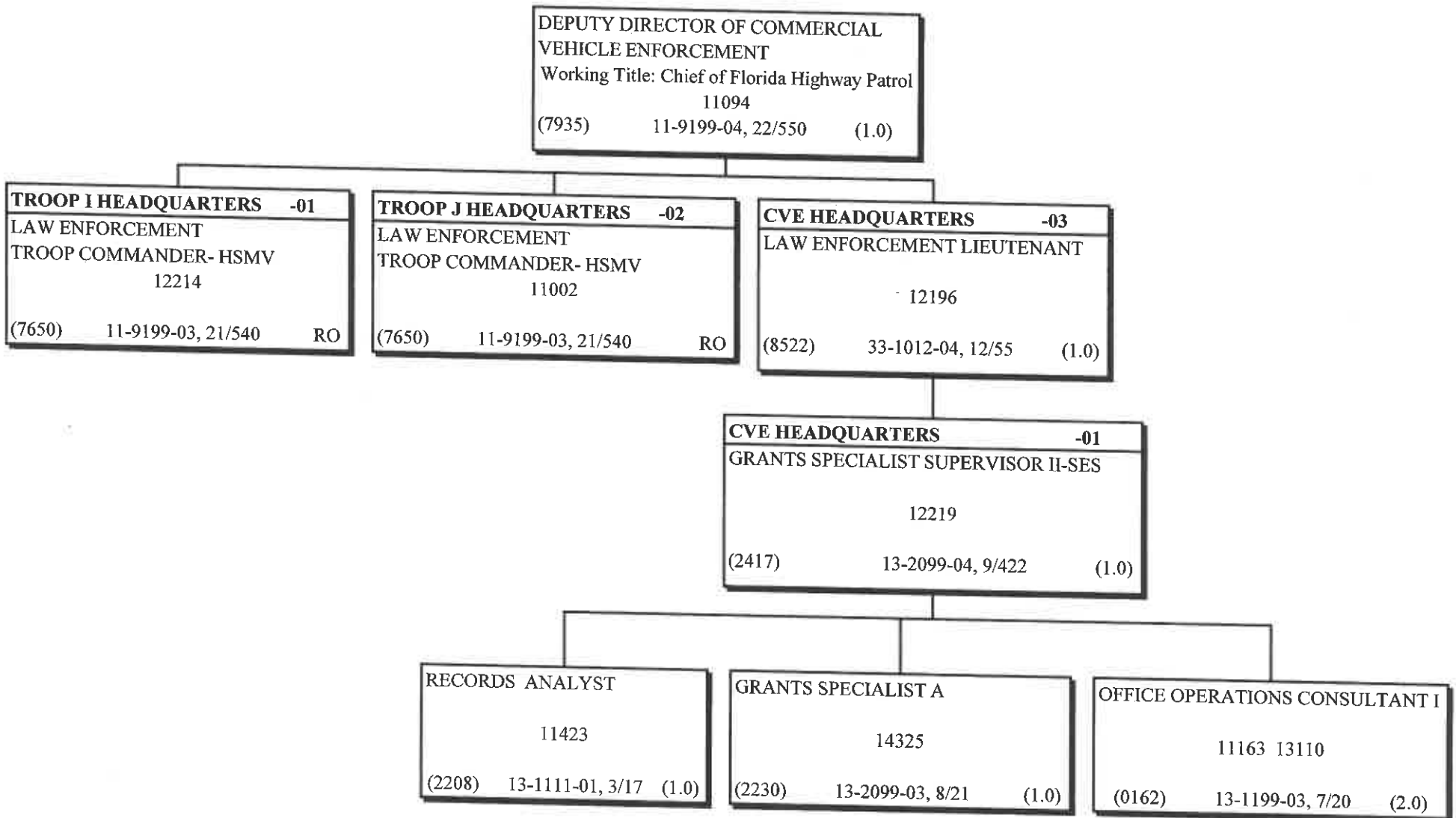


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LWRCC

**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
COMMERCIAL VEHICLE ENFORCEMENT**

DATE: 05/25/2016  
 SEQUENCE: 7610-06  
 OED: APM  
 NUMBER OF POSITIONS: 7  
 NUMBER OF FTE'S: 7.0



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP I HEADQUARTERS**

DATE: 10/19/2015  
 SEQUENCE: 7610-06-01  
 OED: *APM*  
 NUMBER OF POSITIONS: 4  
 NUMBER OF FTE'S: 4.0

LAW ENFORCEMENT  
 TROOP COMMANDER - HSMV  
 12214  
 (7650) 11-9199-03, 21 (1.0)

OPERATIONS ANALYST II  
 12215  
 (2212) 13-1111-03, 7 (1.0)

FLORIDA HIGHWAY PATROL SERGEANT  
 14300  
 (8519) 33-1012-03, 10 (1.0)

ADMINISTRATIVE SECRETARY  
 13116  
 (0108) 43-6011-02, 3 (1.0)

**REGION 1 -01**  
 LAW ENFORCMENT CAPTAIN-SES  
 11089  
 (8632) 33-1012-05, 13 RO

**REGION 2 -02**  
 LAW ENFORCEMENT CAPTAIN-SES  
 12197  
 (8632) 33-1012-05, 13 RO

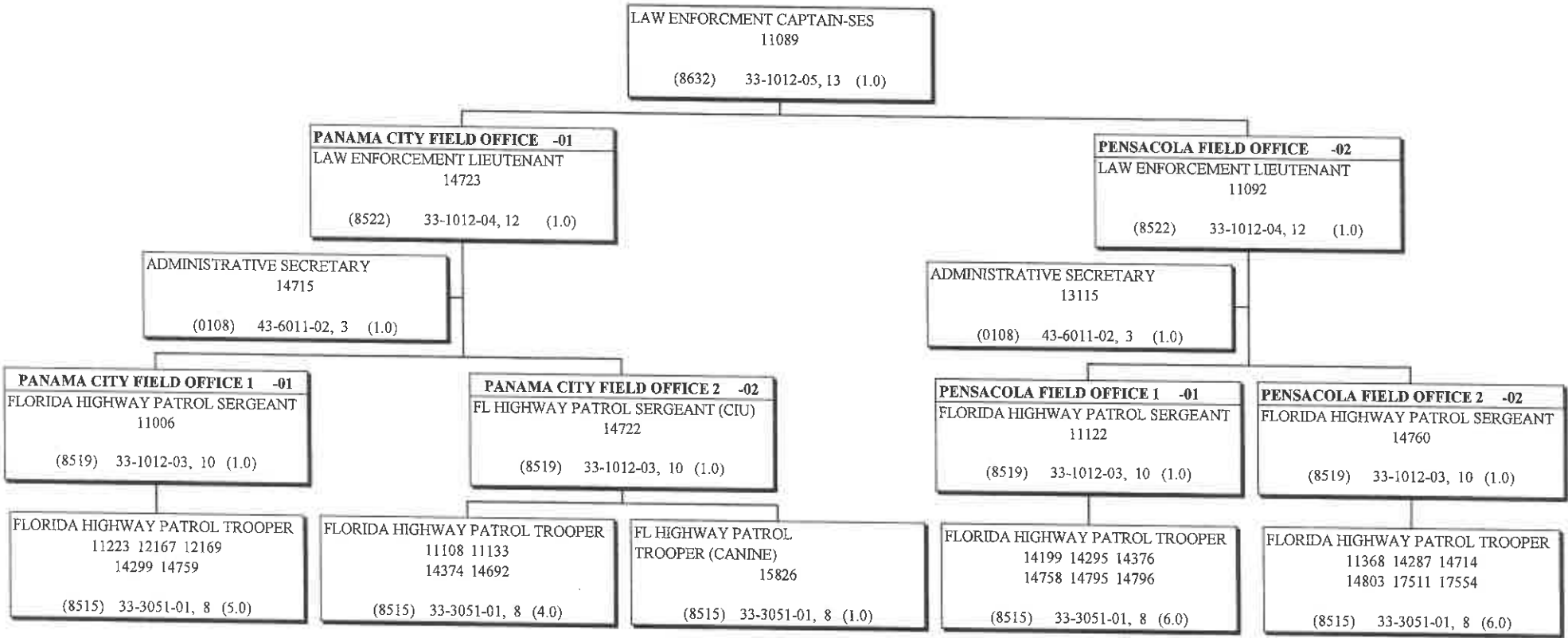
**REGION 3 -03**  
 LAW ENFORCEMENT CAPTAIN-SES  
 12181  
 (8632) 33-1012-05, 13 RO

**REGION 4 -04**  
 LAW ENFORCEMENT CAPTAIN-SES  
 11386  
 (8632) 33-1012-05, 13 RO

**COMPLIANCE REVIEW -05**  
 LAW ENFORCEMENT CAPTAIN-SES  
 11091  
 (8632) 33-1012-0, 13 RO

**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP I / REGION 1 (PANAMA CITY & PENSACOLA)**

DATE: 02/01/2016  
 SEQUENCE: 7610-06-01-01  
 OED: APM  
 NUMBER OF POSITIONS: 31  
 NUMBER OF FTE'S: 31.0



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP I / REGION 2 (OCALA & JACKSONVILLE)**

DATE: 02/01/2016  
 SEQUENCE: 7610-06-01-02  
 OED: ARM  
 NUMBER OF POSITIONS: 48  
 NUMBER OF FTE'S: 48.0

LAW ENFORCEMENT CAPTAIN-SES  
 12197  
 (8632) 33-1012-05, 13 (1.0)

**OCALA FIELD OFFICE -01**  
 LAW ENFORCEMENT LIEUTENANT  
 12208  
 (8522) 33-1012-04, 12 (1.0)

**JACKSONVILLE FIELD OFFICE -02**  
 LAW ENFORCEMENT LIEUTENANT  
 12210  
 (8522) 33-1012-04, 12 (1.0)

**TRAINING/PAO -03**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 14791 17531  
 (8519) 33-1012-03, 10 (2.0)

ADMINISTRATIVE SECRETARY  
 11032 13112  
 (0108) 43-6011-02, 3 (2.0)

ADMINISTRATIVE SECRETARY  
 11144 13111  
 (0108) 43-6011-02, 3 (2.0)

**OCALA FIELD OFFICE 1 -01**  
 FL HIGHWAY PATROL SERGEANT (CIU)  
 11131  
 (8519) 33-1012-03, 10 (1.0)

**OCALA FIELD OFFICE 2 -02**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 14289  
 (8519) 33-1012-03, 10 (1.0)

**JACKSONVILLE FIELD OFFICE 1 -01**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 17698  
 (8519) 33-1012-03, 10 (1.0)

**JACKSONVILLE FIELD OFFICE 2 -02**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 11128  
 (8519) 33-1012-03, 10 (1.0)

**JACKSONVILLE FIELD OFFICE 3 -03**  
 FL HIGHWAY PATROL SERGEANT (CIU)  
 14754  
 (8519) 33-1012-03, 10 (1.0)

**JACKSONVILLE FIELD OFFICE 4 -04**  
 FL HIGHWAY PATROL SERGEANT (CIU)  
 14189  
 (8519) 33-1012-03, 10 (1.0)

FLORIDA HIGHWAY PATROL TROOPER  
 12180 14194  
 14195 14196  
 (8515) 33-3051-01, 8 (4.0)

FLORIDA HIGHWAY PATROL TROOPER  
 11099 11126 11193  
 11367 14390 14801 17513  
 (8515) 33-3051-01, 8 (7.0)

FLORIDA HIGHWAY PATROL TROOPER  
 11104 12178 12205  
 14192 14296  
 (8515) 33-3051-01, 8 (5.0)

FLORIDA HIGHWAY PATROL TROOPER  
 11123 12175 12177  
 14303 14757  
 (8515) 33-3051-01, 8 (5.0)

FLORIDA HIGHWAY PATROL TROOPER  
 12176 14664 14788  
 14794 17545  
 (8515) 33-3051-01, 8 (5.0)

FLORIDA HIGHWAY PATROL TROOPER  
 11385 11432 14193  
 (8515) 33-3051-01, 8 (3.0)

FL HIGHWAY PATROL TROOPER (CANINE)  
 14375  
 (8515) 33-3051-01, 8 (1.0)

FL HIGHWAY PATROL TROOPER (CANINE)  
 17550  
 (8515) 33-3051-01, 8 (1.0)

FL HIGHWAY PATROL TROOPER (FELONY)  
 12194  
 (8515) 33-3051-01, 8 (1.0)

FL HIGHWAY PATROL TROOPER (FELONY)  
 12179  
 (8515) 33-3051-01, 8 (1.0)

**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP I / REGION 3 (LAKE CITY & TALLAHASSEE)**

DATE: 11/01/2015  
 SEQUENCE: 7610-06-01-03  
 OED: APM  
 NUMBER OF POSITIONS: 37  
 NUMBER OF FTE'S: 37.0

**LAW ENFORCEMENT CAPTAIN-SES**  
 12181  
 (8632) 33-1012-05, 13 (1.0)

**LAKE CITY FIELD OFFICE -01**  
 LAW ENFORCEMENT LIEUTENANT  
 12209  
 (8522) 33-1012-04, 12 (1.0)

**TALLAHASSEE FIELD OFFICE -02**  
 LAW ENFORCEMENT LIEUTENANT  
 12211  
 (8522) 33-1012-04, 12 (1.0)

**ADMINISTRATIVE SECRETARY**  
 11375  
 (0108) 43-6011-02, 3 (1.0)

**ADMINISTRATIVE SECRETARY**  
 11359  
 (0108) 43-6011-02, 3 (1.0)

**LAKE CITY FIELD OFFICE 2 -02**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 11105  
 (8519) 33-1012-03, 10 (1.0)

**LAKE CITY FIELD OFFICE 3 -03**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 12185  
 (8519) 33-1012-03, 10 (1.0)

**TALLAHASSEE FIELD OFFICE 1 -01**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 11113  
 (8519) 33-1012-03, 10 (1.0)

**TALLAHASSEE FIELD OFFICE 2 -02**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 14724  
 (8519) 33-1012-03, 10 (1.0)

**FLORIDA HIGHWAY PATROL TROOPER**  
 11004 11118 11125  
 12204 14290 14672 17518  
 (8515) 33-3051-01, 8 (7.0)

**FLORIDA HIGHWAY PATROL TROOPER**  
 11384 12172 12174  
 12190 14211 14673 17547  
 (8515) 33-3051-01, 8 (7.0)

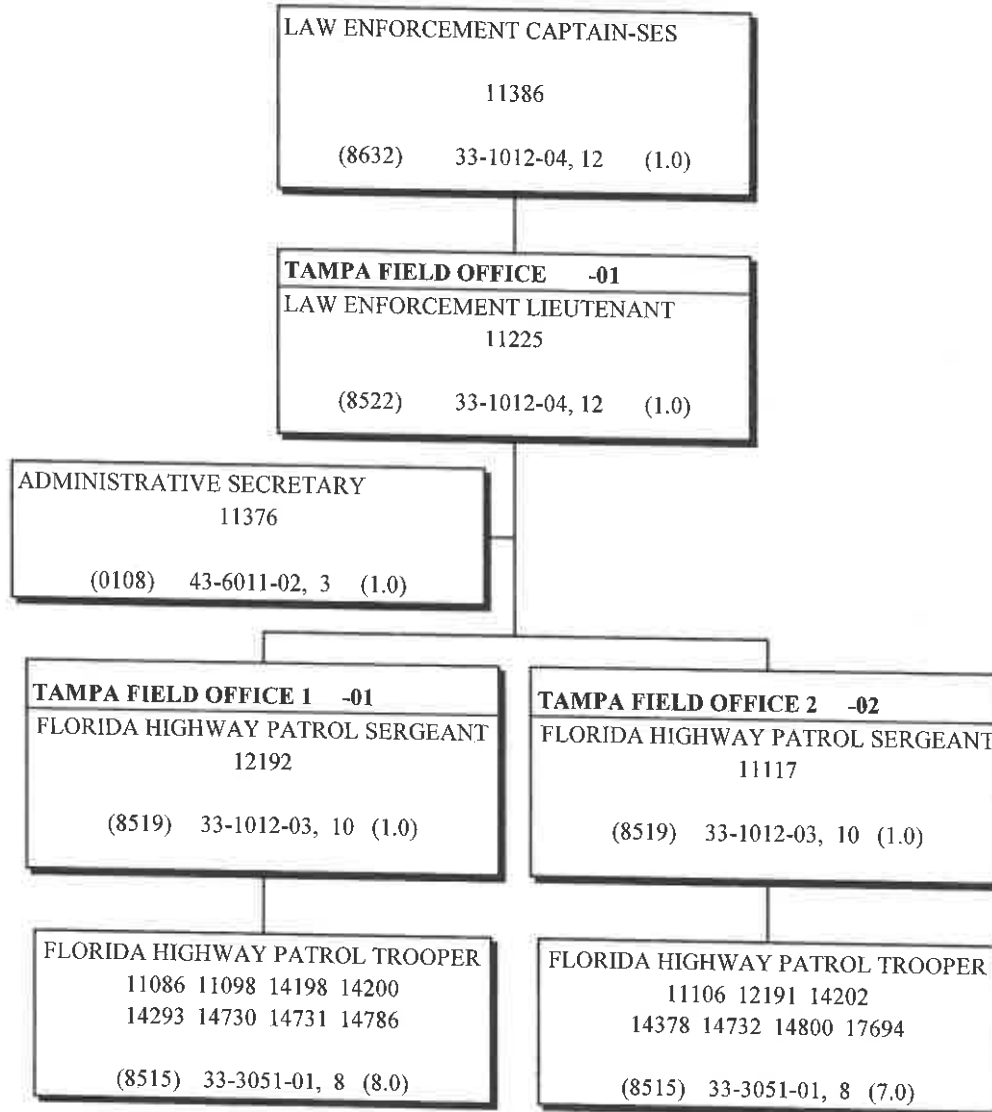
**FLORIDA HIGHWAY PATROL TROOPER**  
 11100 11434 11121  
 12171 12173 14191 14385  
 (8515) 33-3051-01, 8 (7.0)

**FLORIDA HIGHWAY PATROL TROOPER**  
 11103 11124 12186  
 14204 14373 14387 14397  
 (8515) 33-3051-01, 8 (7.0)



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP I / REGION 4 (TAMPA)**

DATE: 02/01/2016  
 SEQUENCE: 7610-06-01-04  
 OED: APM  
 NUMBER OF POSITIONS: 20  
 NUMBER OF FTE'S: 20.0



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP I / COMPLIANCE REVIEW**

DATE: 07/01/2015  
 SEQUENCE: 7610-06-01-05  
 OED: APM  
 NUMBER OF POSITIONS: 33  
 NUMBER OF FTE'S: 33.0

LAW ENFORCMENT CAPTAIN-SES  
 11091  
 (8632) 33-1012-05, 13 (1.0)

OPERATIONS ANALYST I  
 12761  
 (2209) 13-1111-02, 6 (1.0)

**COMPLIANCE REVIEW PROGRAM -01**  
 LAW ENFORCEMENT  
 LIEUTENANT (COMPLIANCE)  
 11297  
 (8522) 33-1012-04, 12 (1.0)

**HAZMAT -02**  
 FL HIGHWAY PATROL  
 SERGEANT (HAZMAT)  
 14841  
 (8519) 33-1012-3, 10 (1.0)

**COMPLIANCE REVIEW PROGRAM 1 -01**  
 FL HIGHWAY PATROL  
 SERGEANT (COMPLIANCE)  
 12212  
 (8519) 33-1012-03, 10 (1.0)

**COMPLIANCE REVIEW PROGRAM 2 -02**  
 FL HIGHWAY PATROL  
 SERGEANT (COMPLIANCE)  
 11134  
 (8519) 33-1012-03, 10 (1.0)

**COMPLIANCE REVIEW PROGRAM 3 -03**  
 FL HIGHWAY PATROL  
 SERGEANT (COMPLIANCE)  
 11120  
 (8519) 33-1012-03, 10 (1.0)

FL HIGHWAY PATROL  
 TROOPER (HAZMAT)  
 12182 014785 14842 14843  
 14844 14845 14846  
 (8515) 33-3051-1, 8 (7.0)

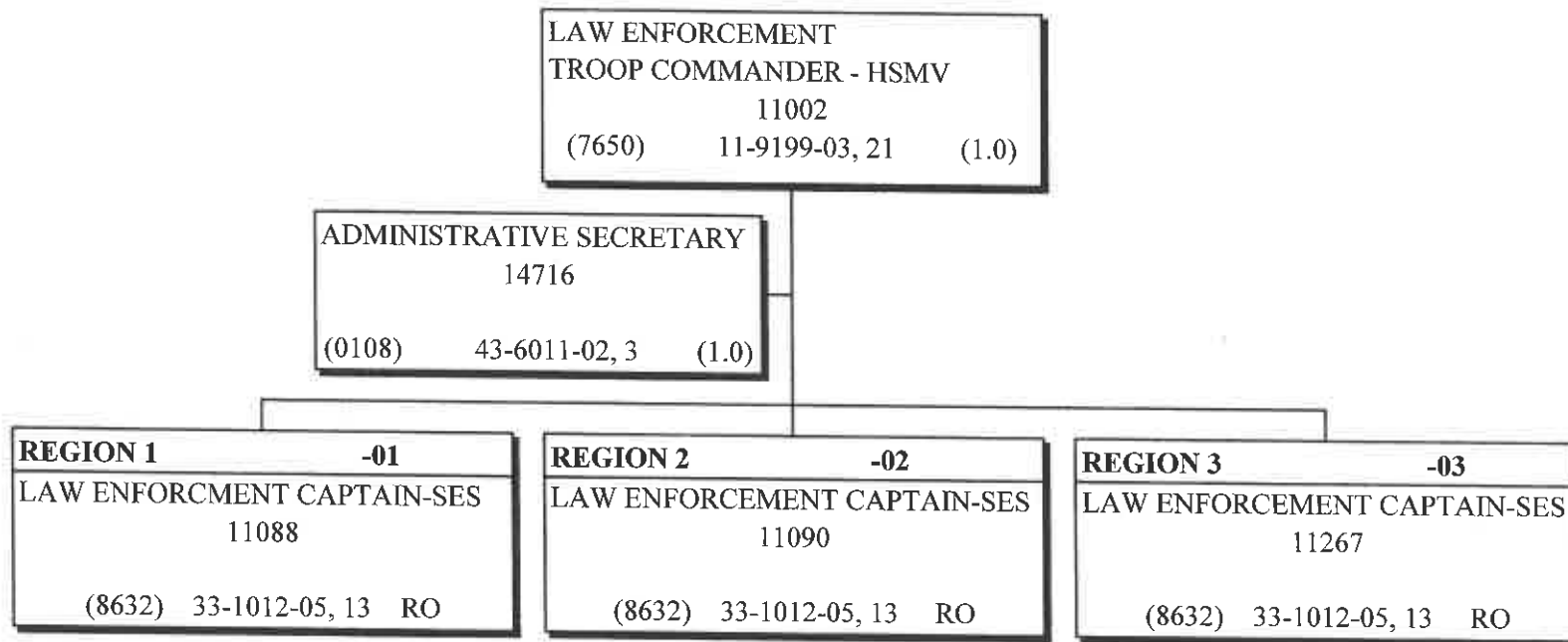
FL HIGHWAY PATROL  
 TROOPER (COMPLIANCE)  
 11005 14301 14391  
 14721 14733 14825  
 (8515) 33-3051-01, 8 (6.0)

FL HIGHWAY PATROL  
 TROOPER (COMPLIANCE)  
 11194 12183 14294  
 14799 14823 14824  
 (8515) 33-3051-01, 8 (6.0)

FL HIGHWAY PATROL  
 TROOPER (COMPLIANCE)  
 11030 14206 14209  
 14297 14380 14821 17520  
 (8515) 33-3051-01, 8 (7.0)

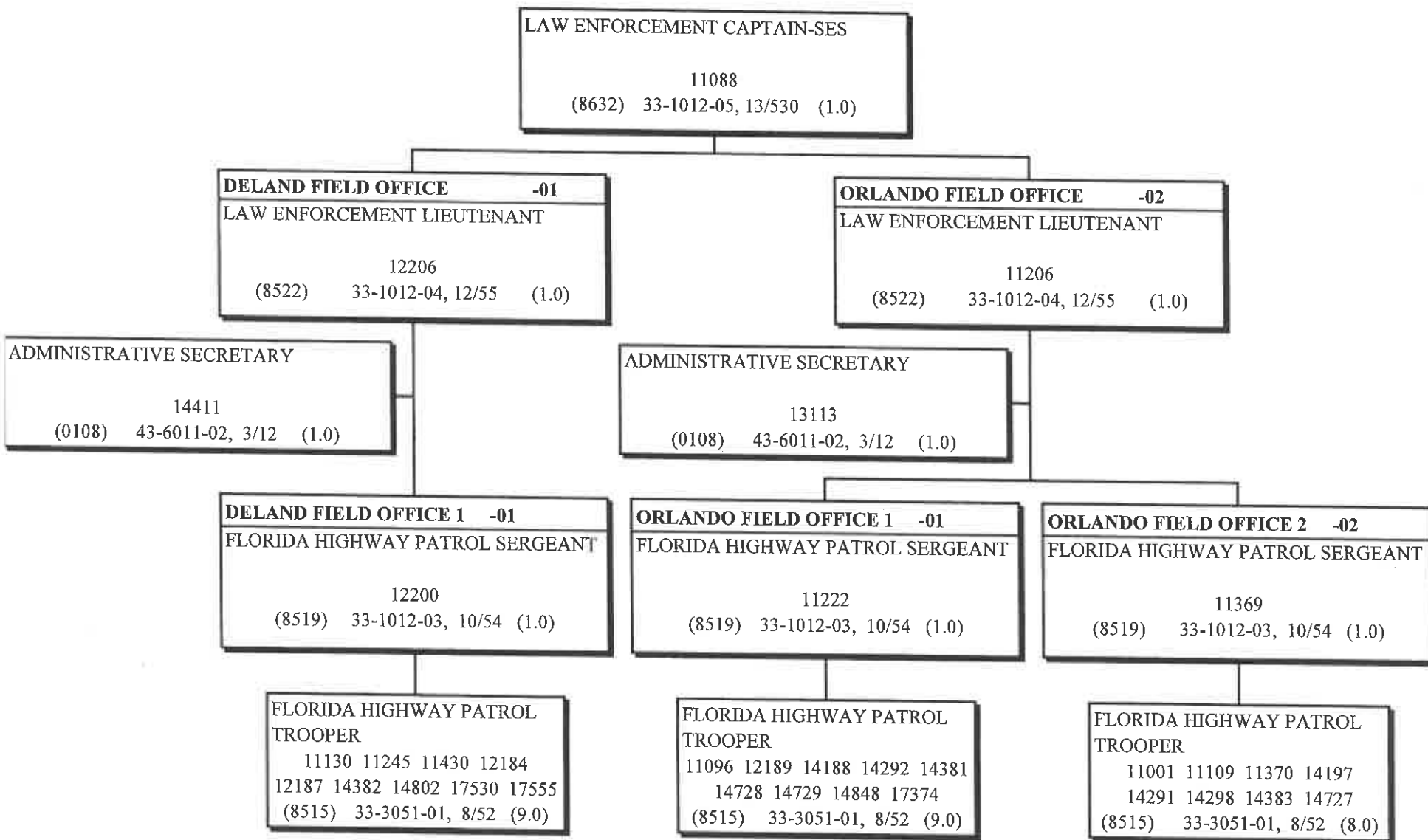
**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES**  
**DIVISION OF FLORIDA HIGHWAY PATROL**  
**COMMERCIAL VEHICLE ENFORCEMENT**  
**TROOP J HEADQUARTERS**

DATE: 11/06/2015  
 SEQUENCE: 7610-06-02  
 OED: APM  
 NUMBER OF POSITIONS: 2  
 NUMBER OF FTE'S: 2.0



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP J / REGION 1 (DELAND & ORLANDO)**

DATE: 05/25/2016  
 SEQUENCE: 7610-06-02-01  
 OED: APM  
 NUMBER OF POSITIONS: 34  
 NUMBER OF FTE'S: 34.0



**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP J / REGION 2 (FT MYERS)**

DATE: 07/01/2015  
 SEQUENCE: 7610-06-02-02  
 OED: APM  
 NUMBER OF POSITIONS: 18.0  
 NUMBER OF FTE'S: 18.0

LAW ENFORCEMENT CAPTAIN-SES  
 11090  
 (8632) 33-1012-05, 13 (1.0)

**FT MYERS FIELD OFFICE -01**  
 LAW ENFORCEMENT LIEUTENANT  
 11093  
 (8522) 33-1012-04, 12 (1.0)

ADMINISTRATIVE SECRETARY  
 14312  
 (0108) 43-6011-02, 3 (1.0)

**FT MYERS FIELD OFFICE 1 -01**  
 FL HIGHWAY PATROL SERGEANT (CIU)  
 14208  
 (8519) 33-1012-03, 10 (1.0)

**FT MYERS FIELD OFFICE 2 -02**  
 FLORIDA HIGHWAY PATROL SERGEANT  
 12193  
 (8519) 33-1012-03, 10 (1.0)

FLORIDA HIGHWAY PATROL TROOPER  
 11007 11115 11527 14392  
 (8515) 33-3051-01, 8 (4.0)

FL HIGHWAY PATROL  
 TROOPER (CANINE)  
 14379  
 (8515) 33-3051-01, 8 (1.0)

FL HIGHWAY PATROL  
 TROOPER (FELONY)  
 11110  
 (8515) 33-3051-01, 8 (1.0)

FLORIDA HIGHWAY PATROL TROOPER  
 14207 14210 14288 14787  
 14798 14847 14793  
 (8515) 33-3051-01, 8 (7.0)

**DEPARTMENT OF HIGHWAY SAFETY & MOTOR VEHICLES  
 DIVISION OF FLORIDA HIGHWAY PATROL  
 COMMERCIAL VEHICLE ENFORCEMENT  
 TROOP J / REGION 3 (WEST PALM BEACH & MIAMI)**

DATE: 11/06/2015  
 SEQUENCE: 7610-06-02-03  
 OED: APM  
 NUMBER OF POSITIONS: 46  
 NUMBER OF FTE'S: 46.0

LAW ENFORCEMENT CAPTAIN-SES  
 11267  
 (8632) 33-1012-05, 13 (1.0)

**PALM BEACH FIELD OFFICE -01**  
 LAW ENFORCEMENT LIEUTENANT  
 11132  
 (8522) 33-1012-04, 12 (1.0)

**MIAMI FIELD OFFICE -02**  
 LAW ENFORCEMENT LIEUTENANT  
 14386  
 (8522) 33-1012-04, 12 (1.0)

ADMINISTRATIVE SECRETARY  
 11377 13109  
 (0108) 43-6011-02, 3 (2.0)

ADMINISTRATIVE SECRETARY  
 13108  
 (0108) 43-6011-02, 3 (1.0)

**PALM BEACH FIELD OFFICE 1 -01**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 14830  
 (8519) 33-1012-03, 10 (1.0)

**PALM BEACH FIELD OFFICE 2 -02**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 12199  
 (8519) 33-1012-03, 10 (1.0)

**PALM BEACH FIELD OFFICE 3 -03**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 12213  
 (8519) 33-1012-03, 10 (1.0)

**MIAMI FIELD OFFICE 1 -01**  
 FL HIGHWAY PATROL  
 SERGEANT (CIU)  
 12202  
 (8519) 33-1012-03, 10 (1.0)

**MIAMI FIELD OFFICE 2 -02**  
 FL HIGHWAY PATROL  
 SERGEANT (CIU)  
 11598  
 (8519) 33-1012-03, 10 (1.0)

**MIAMI FIELD OFFICE 3 -03**  
 FLORIDA HIGHWAY PATROL  
 SERGEANT  
 11431  
 (8519) 33-1012-03, 10 (1.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 11116 11129 11192  
 11224 14389 14849  
 (8515) 33-3051-01, 8 (6.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 11008 11009 11101  
 11388 12201 14832  
 (8515) 33-3051-01, 8 (6.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 11107 11231 12195  
 14304 14725 14831  
 (8515) 33-3051-01, 8 (6.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 11127 11599  
 14203 14305  
 (8515) 33-3051-01, 8 (4.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 11111 11526  
 11207 12203 14302  
 (8515) 33-3051-01, 8 (5.0)

FLORIDA HIGHWAY PATROL  
 TROOPER  
 11003 11172 14205  
 14388 14797  
 (8515) 33-3051-01, 8 (5.0)

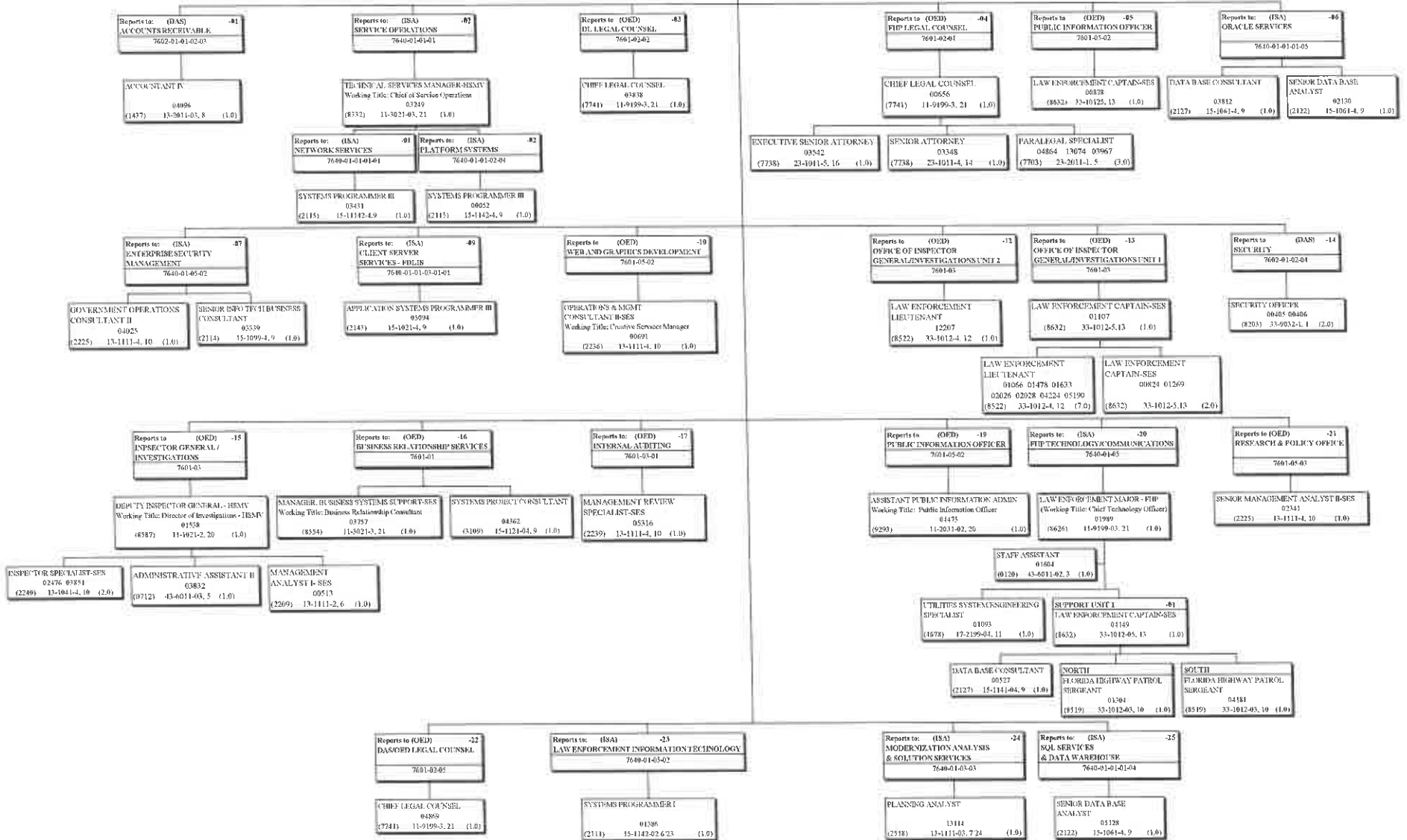
FL HIGHWAY PATROL  
 TROOPER (CANINE)  
 12188  
 (8515) 33-3051-01, 8 (1.0)

FL HIGHWAY PATROL  
 TROOPER (FELONY)  
 14519  
 (8515) 33-3051-01, 8 (1.0)

DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF FLORIDA HIGHWAY PATROL  
POSITIONS ON LOAN

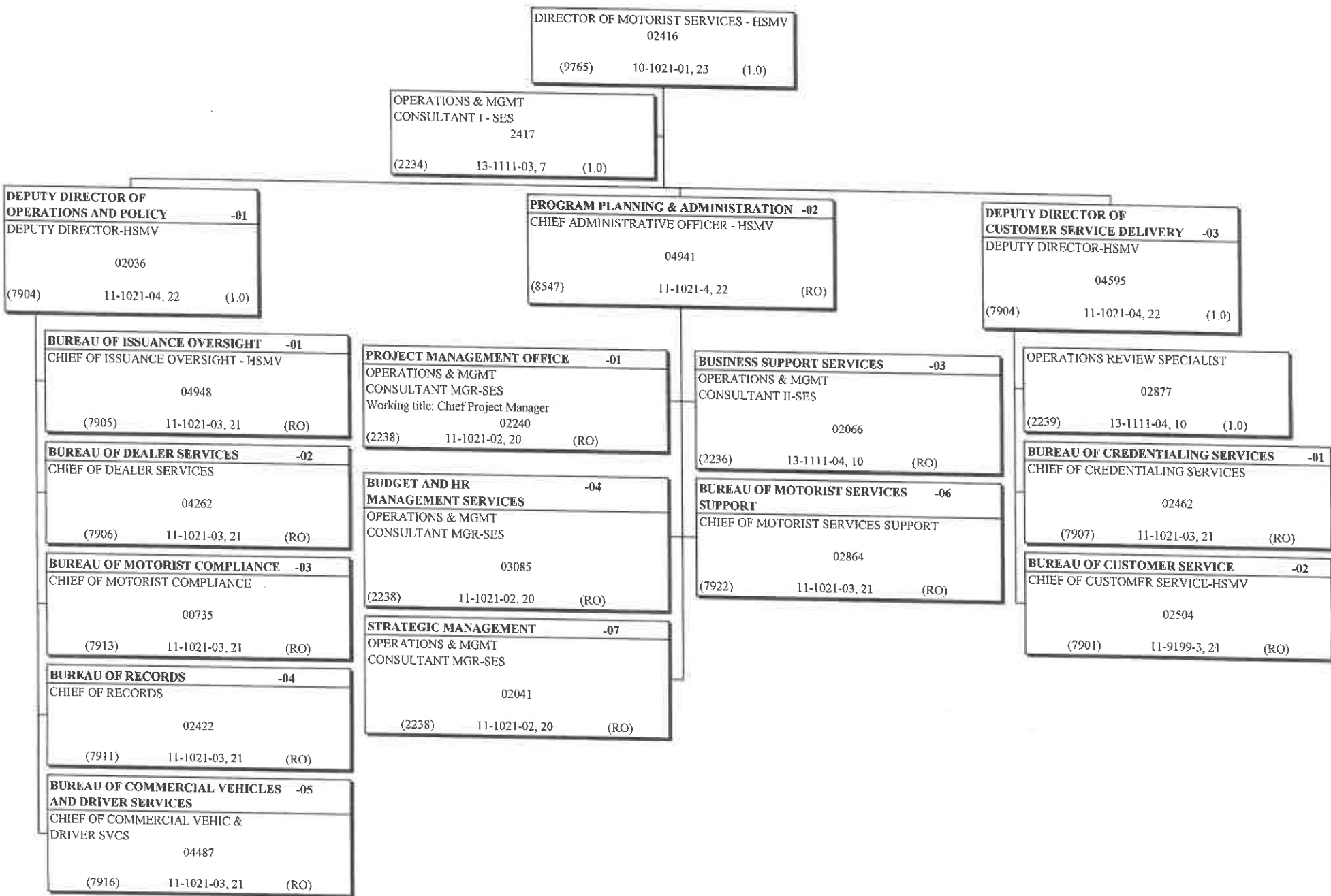
DATE: 07/01/2016  
SEQUENCE: 7610-08  
REP: AAM  
NUMBER OF POSITIONS: 52  
NUMBER OF FTES: 52.0

FHP Positions on Loan  
7610-08



# DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES DIVISION OF MOTORIST SERVICES

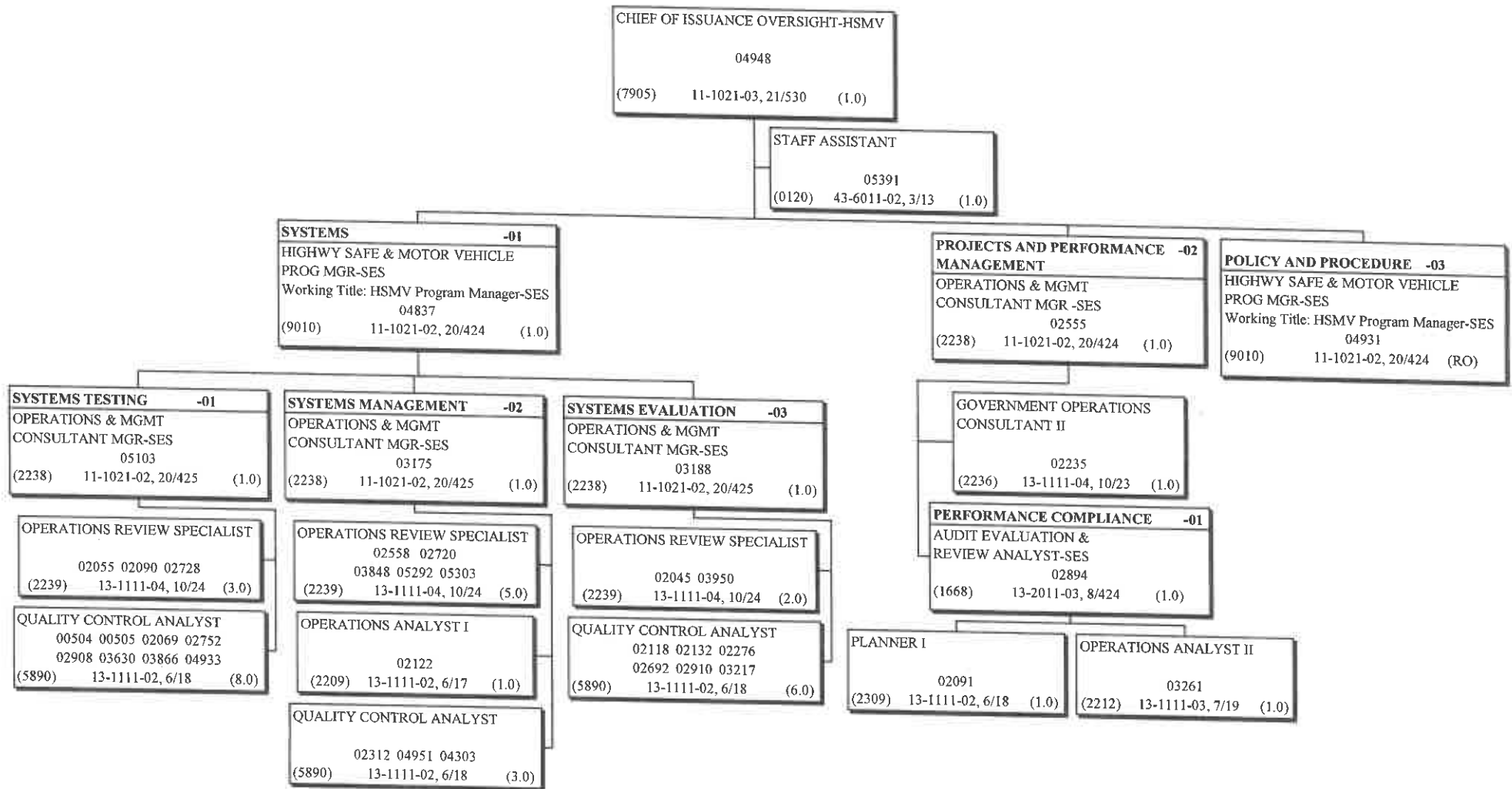
DATE: 07/17/2015  
 SEQUENCE: 7621  
 OED: AC  
 NUMBER OF POSITIONS: 5.0  
 NUMBER OF FTE'S: 5.0





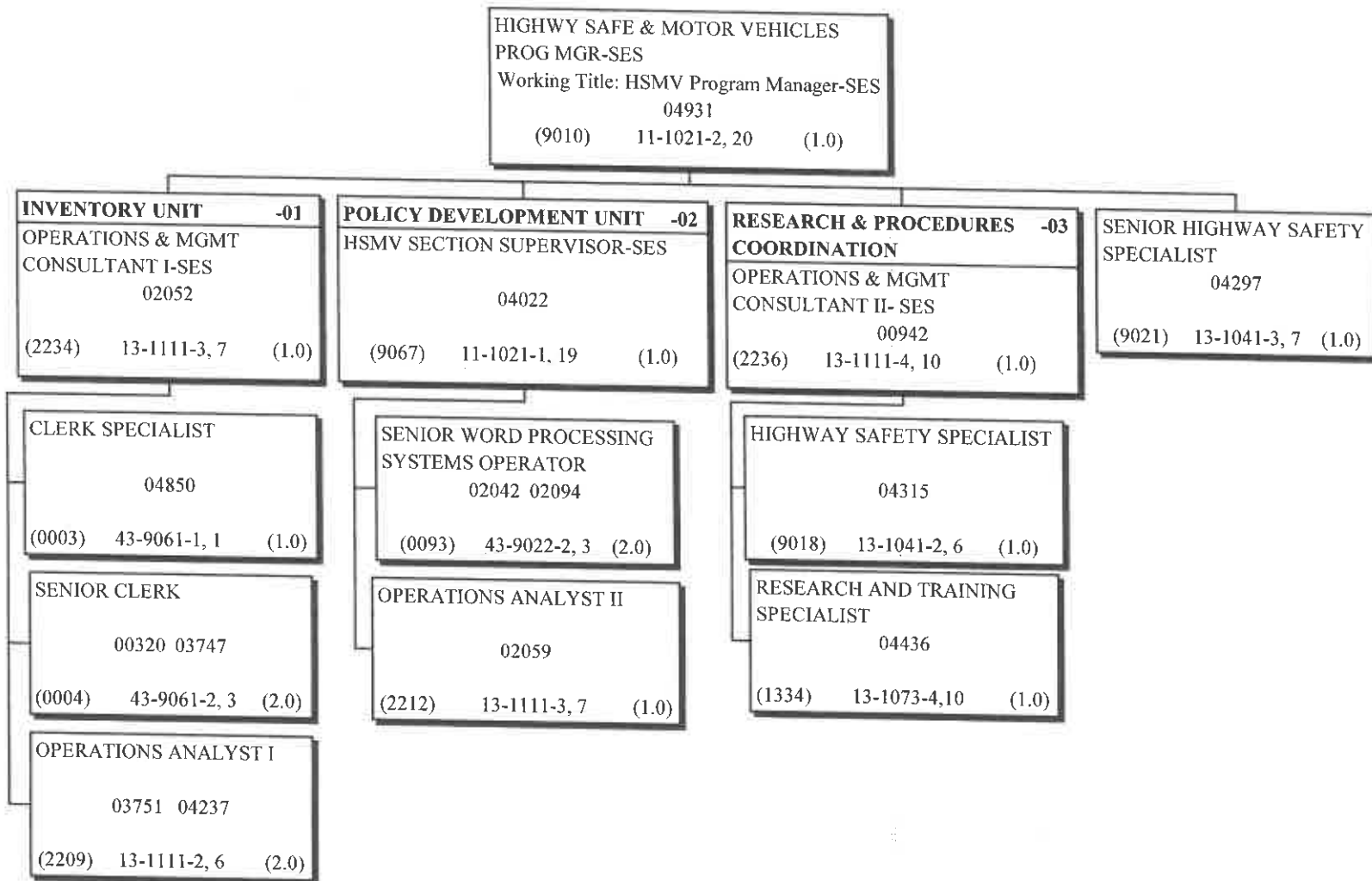
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF ISSUANCE OVERSIGHT**

DATE: 06/02/2016  
 SEQUENCE: 7621-01-01  
 OED: *PL*  
 NUMBER OF POSITIONS: 39  
 NUMBER OF FTES: 39.0



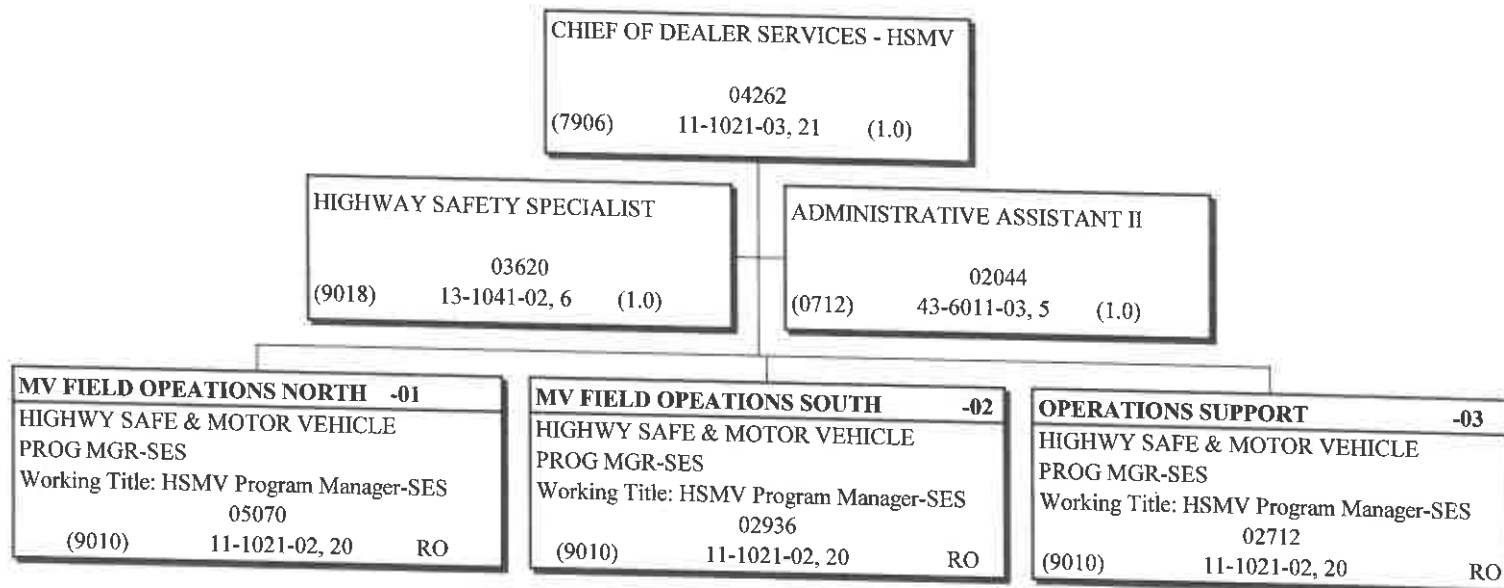
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF ISSUANCE OVERSIGHT  
 POLICY AND PROCEDURE**

DATE: 12/31/2015  
 SEQUENCE: 7621-01-01-03  
 OED: APM  
 NUMBER OF POSITIONS: 15  
 NUMBER OF FTE'S: 15.0



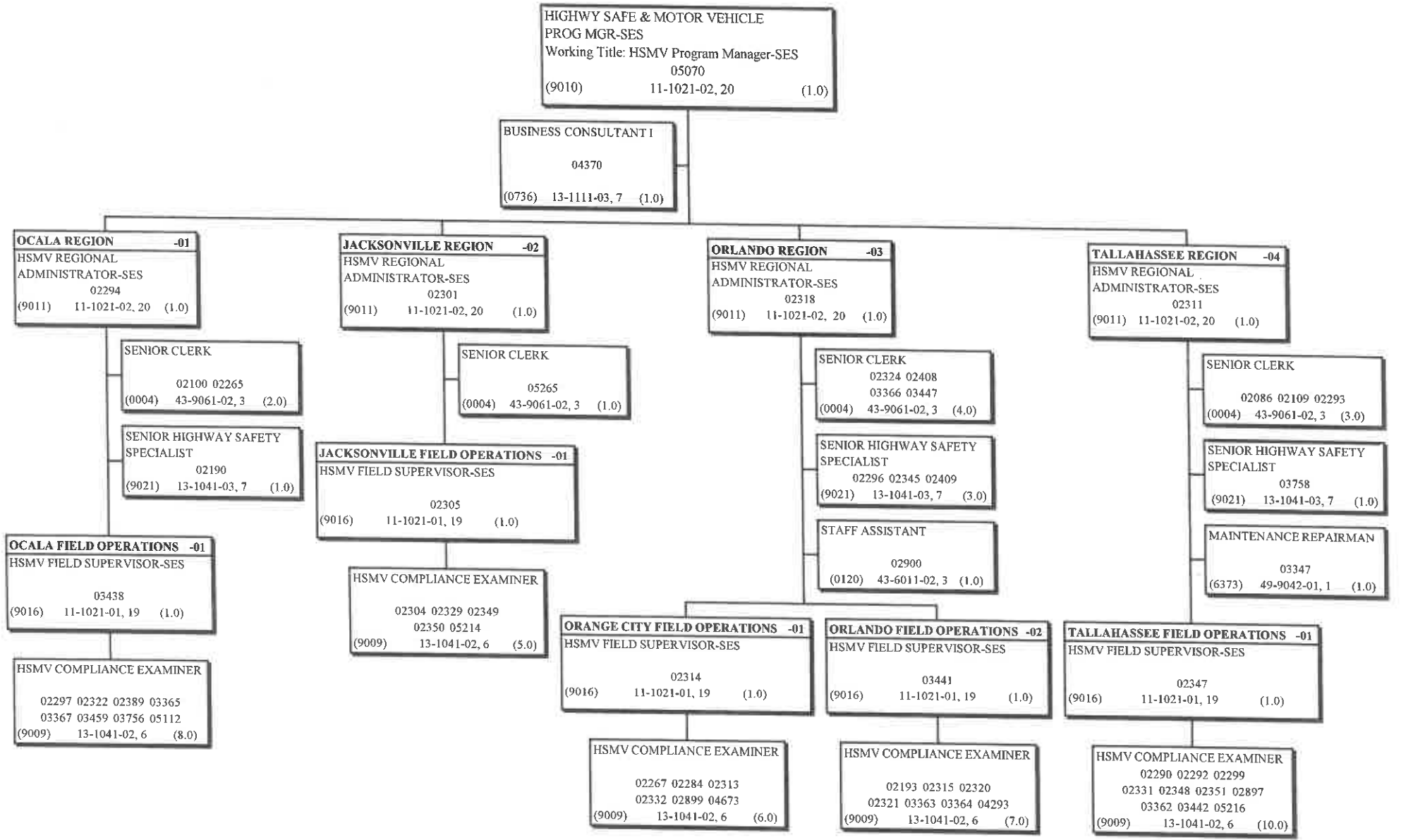
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF DEALER SERVICES**

DATE: 04/11/2016  
 SEQUENCE: 7621-01-02  
 OED: *[Signature]*  
 NUMBER OF POSITIONS: 3.0  
 NUMBER OF FTES: 3.0



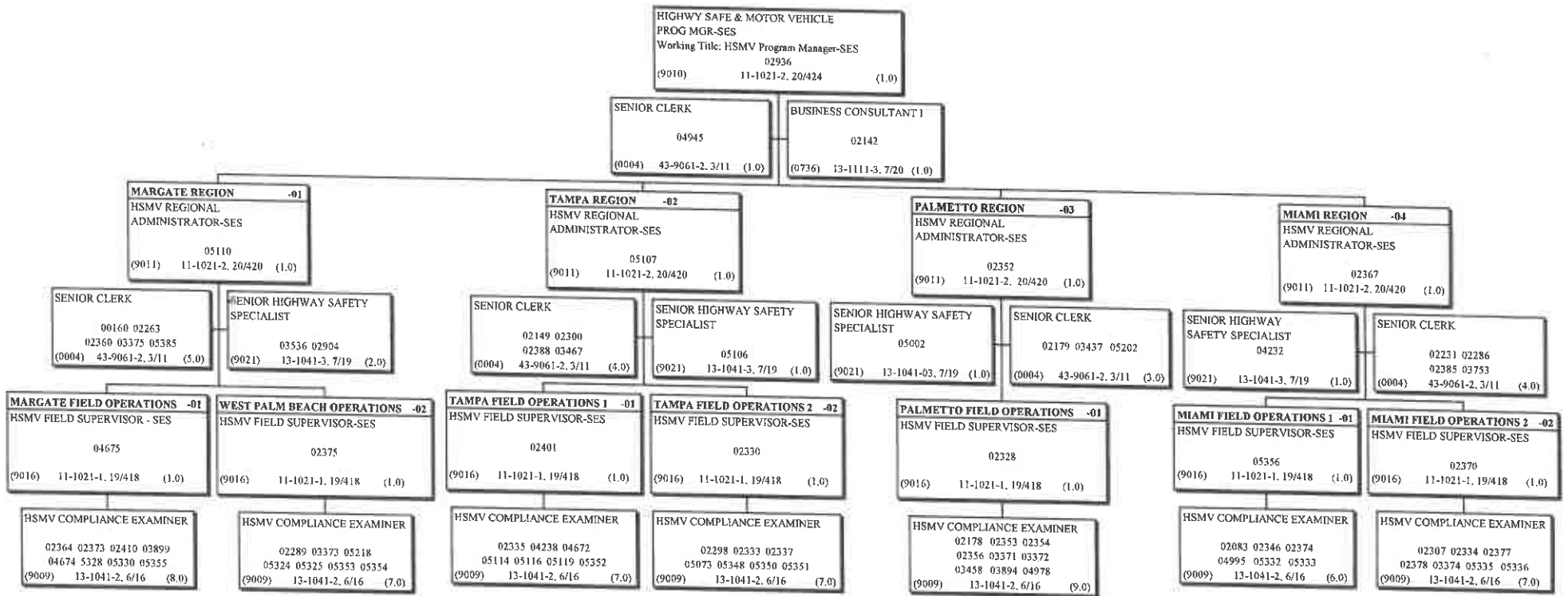
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF DEALER SERVICES  
MOTOR VEHICLE FIELD OPERATIONS NORTH**

DATE: 04/11/2016  
 SEQUENCE: 7621-01-02-01  
 OED: *[Signature]*  
 NUMBER OF POSITIONS: 64  
 NUMBER OF FTE'S: 64.0



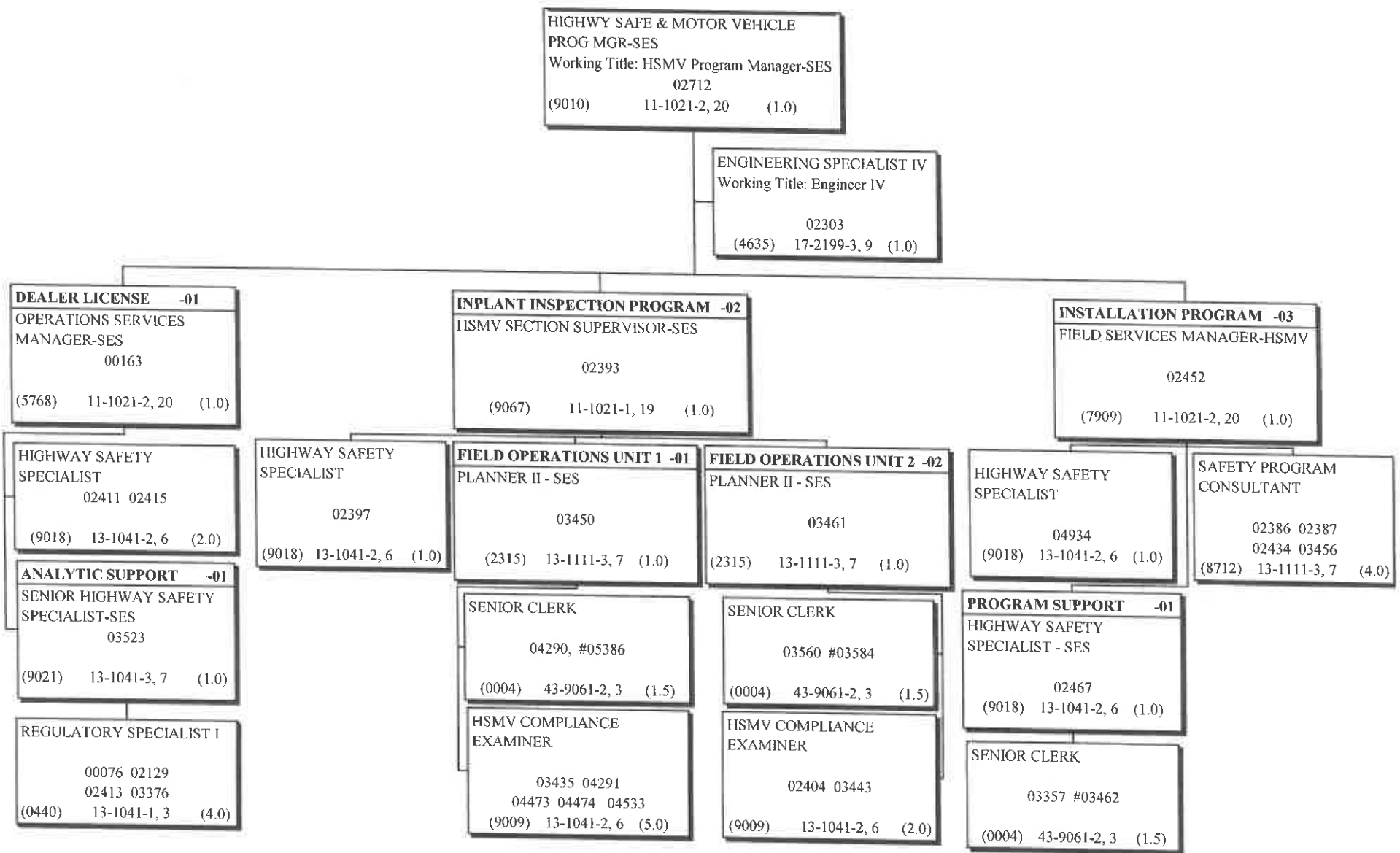
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF DEALER SERVICES  
MOTOR VEHICLE FIELD OPERATIONS SOUTH**

DATE: 06/30/11  
SEQUENCE: 11-02  
OED:  
NUMBER OF POSITIONS:  
NUMBER OF FTE'S: 86.0



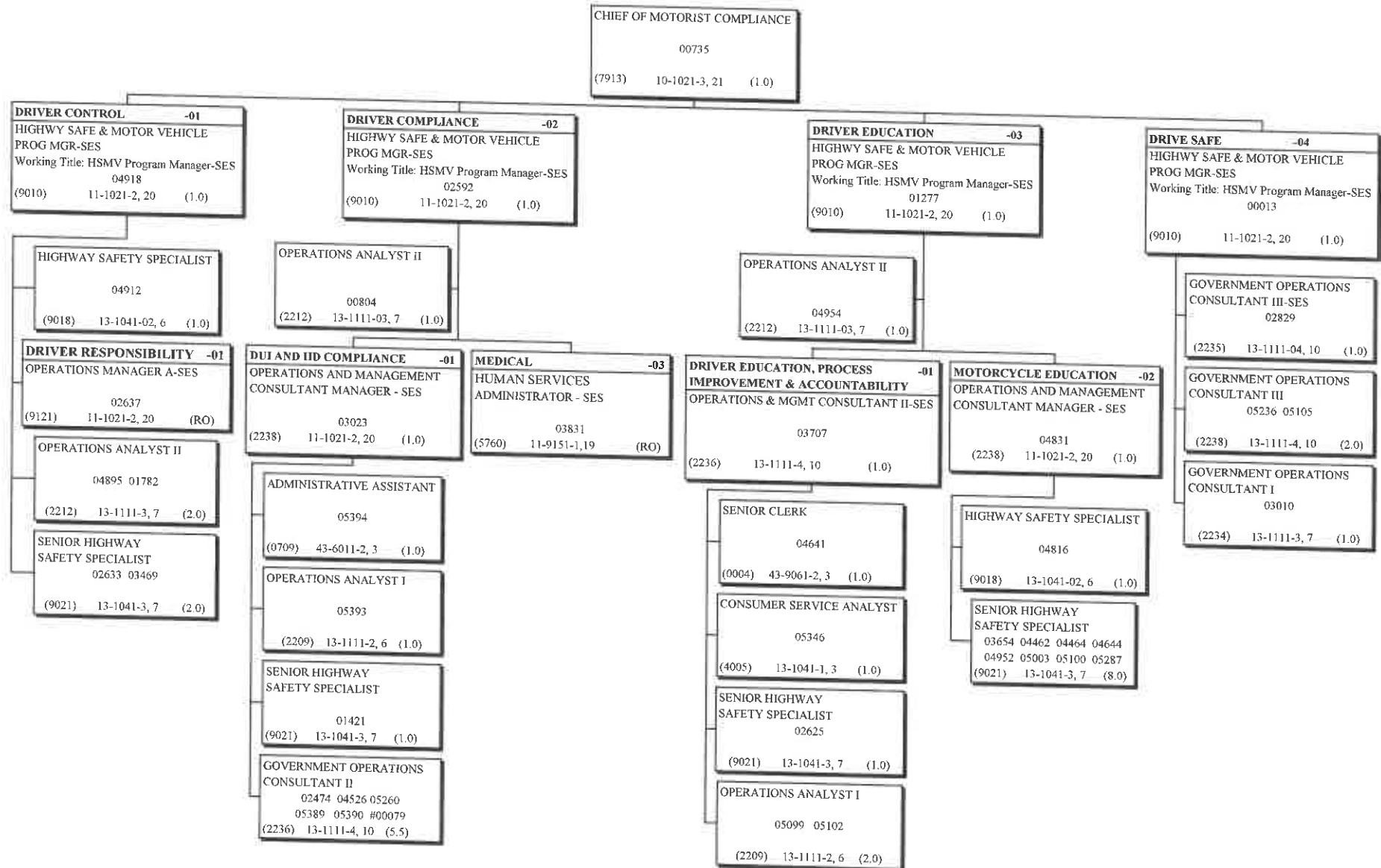
DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF DEALER SERVICES  
 OPERATIONS SUPPORT/MANUFACTURED HOMES

DATE: 03/2/2016  
 SEQUENCE: 7621-01-02-03  
 OED: *MP*  
 NUMBER OF POSITIONS: 34  
 NUMBER OF FTE'S: 32.5



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF MOTORIST COMPLIANCE**

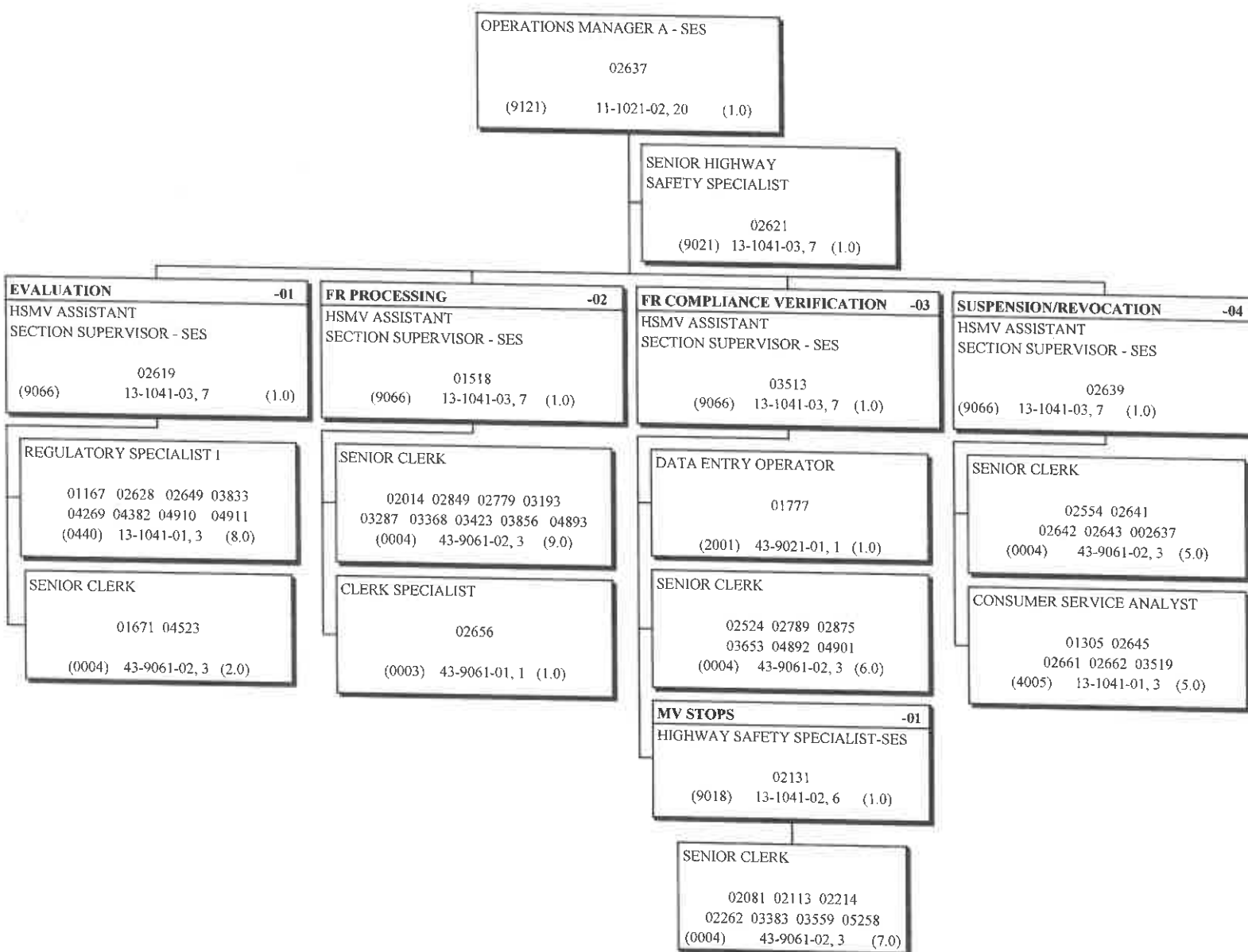
DATE: 06/17/2016  
SEQUENCE: 7621-01-03  
OED:  
NUMBER OF POSITIONS: 42  
NUMBER OF FTE'S: 41.5



#0.50 FTE

**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF MOTORIST COMPLIANCE  
DRIVER RESPONSIBILITY SECTION**

DATE: 3/04/2016  
 SEQUENCE: 7621-01-03-01-01  
 OED: *BAR*  
 NUMBER OF POSITIONS: 51  
 NUMBER OF FTE'S: 51.0





**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF MOTORIST COMPLIANCE  
 DRIVER COMPLIANCE / MEDICAL SECTION**

DATE: 04/01/16  
 SEQUENCE: 762-01-03-02-03  
 OED: FFX  
 NUMBER OF POSITIONS: 36  
 NUMBER OF FTE'S: 34.5

HUMAN SERVICES  
 ADMINISTRATOR - SES  
  
 03831  
 (5760) 11-9151-1,19 (1.0)

OPERATIONS REVIEW  
 SPECIALIST  
  
 05392  
 (2239) 13-1111-4, 10 (1.0)

PHYSICIAN  
  
 #03123 03940  
 (5278) 29-1062-6, 18 (1.5)

**MEDICAL CASE PROCESSING TEAM 1 -01**  
 HSMV SECTION  
 SUPERVISOR - SES  
  
 02648  
 (9067) 11-1021-1, 19 (1.0)

**MEDICAL RE-EXAM -02**  
 HSMV SECTION  
 SUPERVISOR - SES  
  
 02611  
 (9067) 11-1021-1, 19 (1.0)

**MEDICAL CASE PROCESSING TEAM 2 -03**  
 HSMV SECTION  
 SUPERVISOR - SES  
  
 02858  
 (9067) 11-1021-1, 19 (1.0)

**MEDICAL IMAGING & CORRESPONDENCE -04**  
 HSMV SECTION  
 SUPERVISOR - SES  
  
 03922  
 (9067) 11-1021-1, 19 (1.0)

MEDICAL DISABILITY PROGRAM  
 SPECIALIST  
  
 02478 02626 02781  
 03170 03477 04433 04732  
 (3472) 13-1031-3,7 (7.0)

SENIOR CONSUMER  
 SERVICE ANALYST  
  
 02630 03649  
 (4009) 13-1041-2, 6 (2.0)

MEDICAL DISABILITY PROGRAM  
 SPECIALIST  
  
 02253 02618 02631  
 02640 03764 03932 04312  
 (3472) 13-1031-3,7 (7.0)

SENIOR CLERK  
  
 #01193 04734 05205  
 (0004) 43-9061-2, 3 (2.5)

REGULATORY SPECIALIST I  
  
 00231 02587 03650  
 03761 #04504  
 (0440) 13-1041-01 (4.5)

HIGHWAY SAFETY SPECIALIST  
  
 02614  
 (9018) 13-1041-2,6 (1.0)

SENIOR HIGHWAY SAFETY  
 SPECIALIST  
  
 02622 03472  
 (9021) 13-1041-3, 7 (2.0)

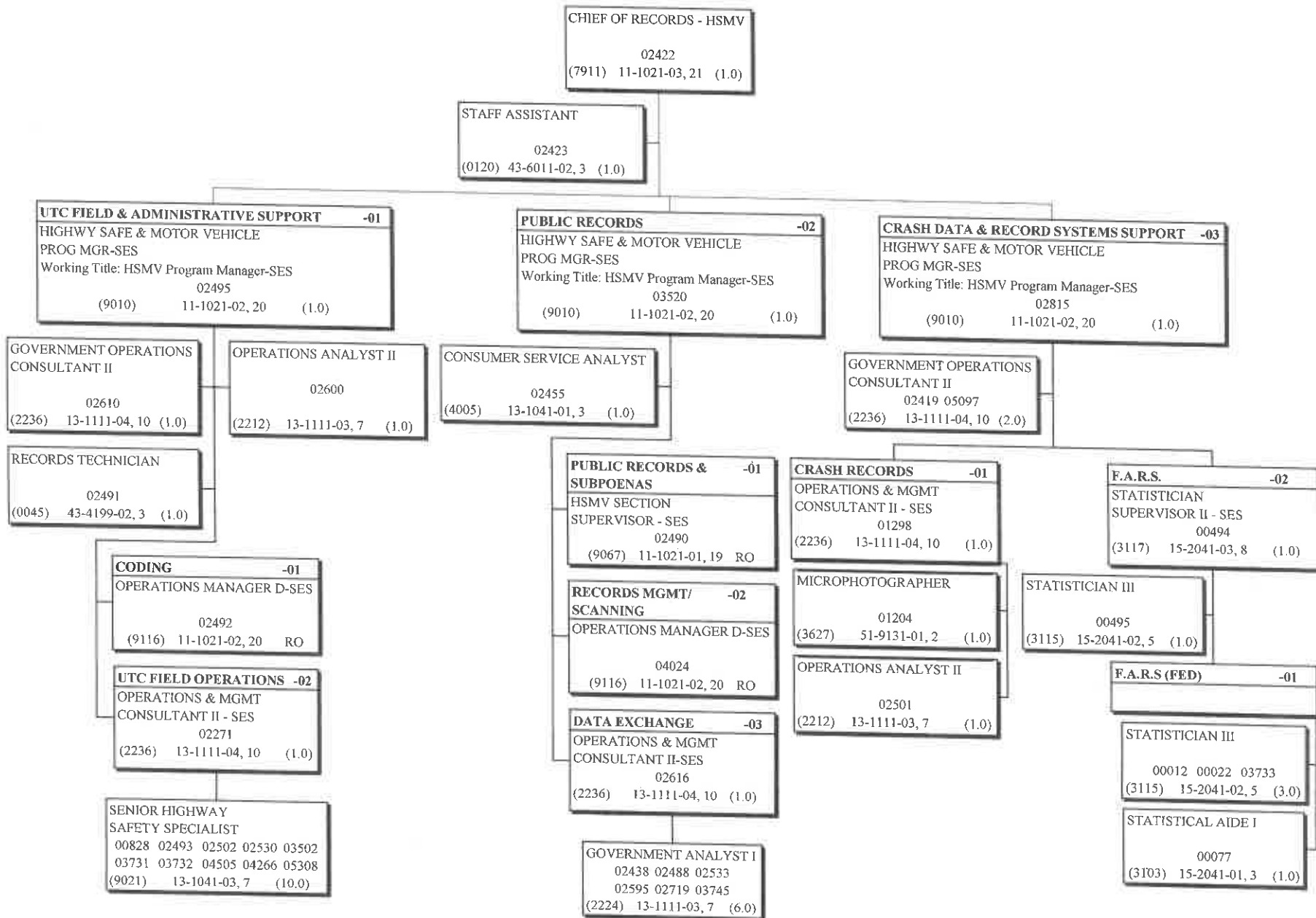
SENIOR CONSUMER SERVICE  
 ANALYST  
  
 03958  
 (4009) 13-1041-2,6 (1.0)

.50 FTE

DRIVER COMPLIANCE-MEDICAL SECTION

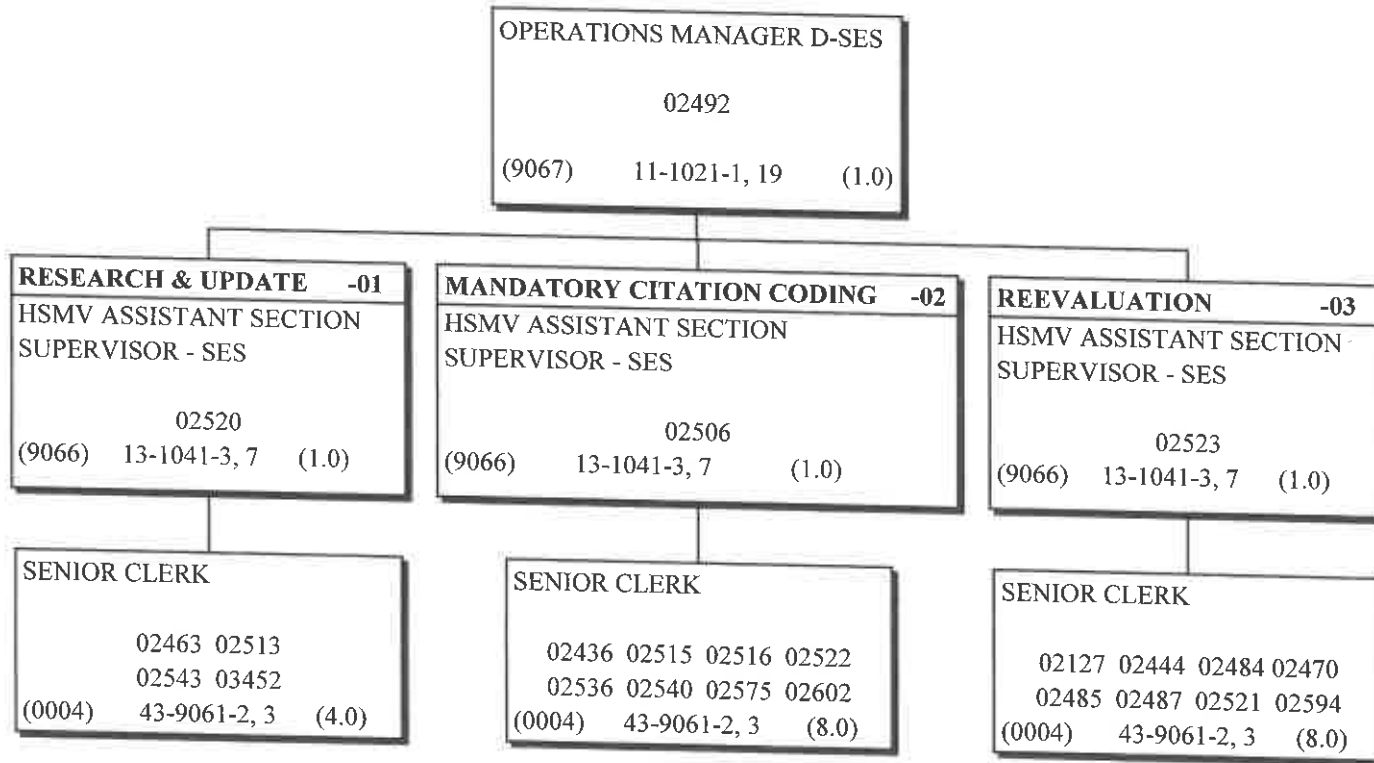
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF RECORDS**

DATE: 11/24/2015  
 SEQUENCE: 7621-01-04  
 OED: *AC*  
 NUMBER OF POSITIONS: 38  
 NUMBER OF FTES: 38.0



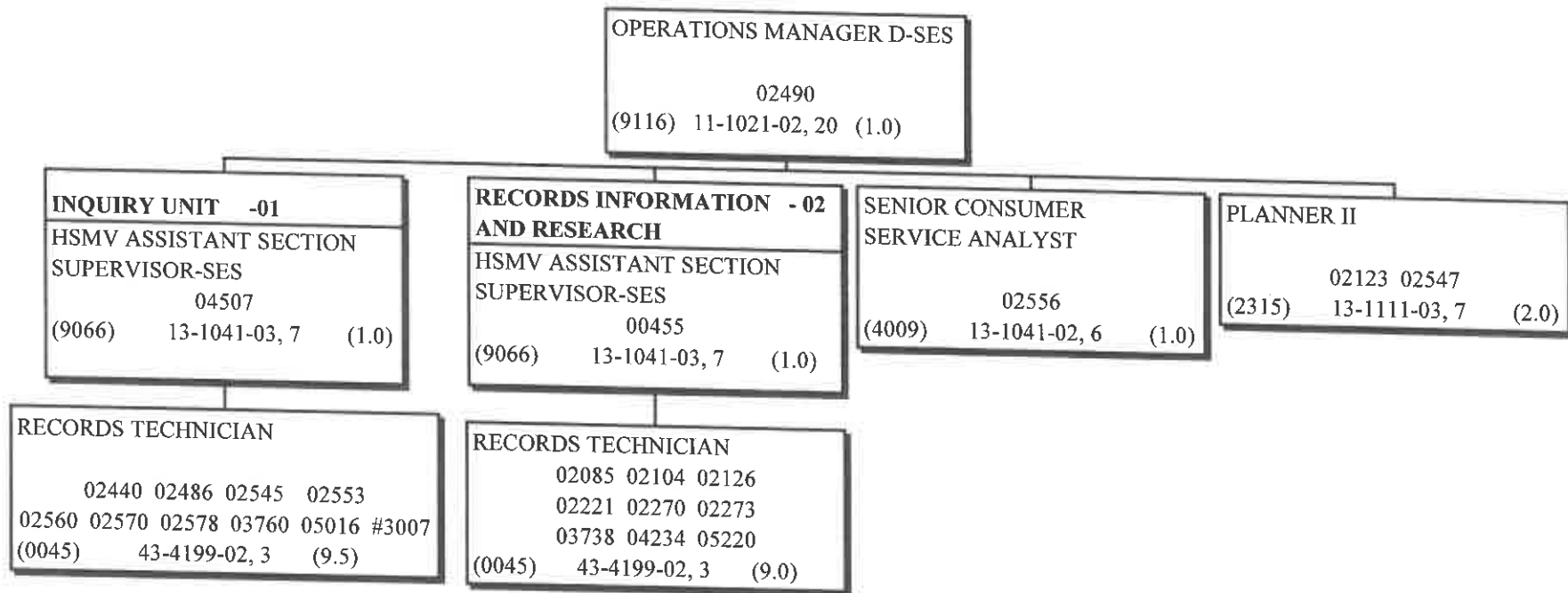
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF RECORDS  
 UTC FIELD AND ADMINISTRATIVE SUPPORT / CODING**

DATE: 11/24/2014  
 SEQUENCE: 7621-01-04-01-02  
 OED: AC  
 NUMBER OF POSITIONS: 24  
 NUMBER OF FTE'S: 24.0



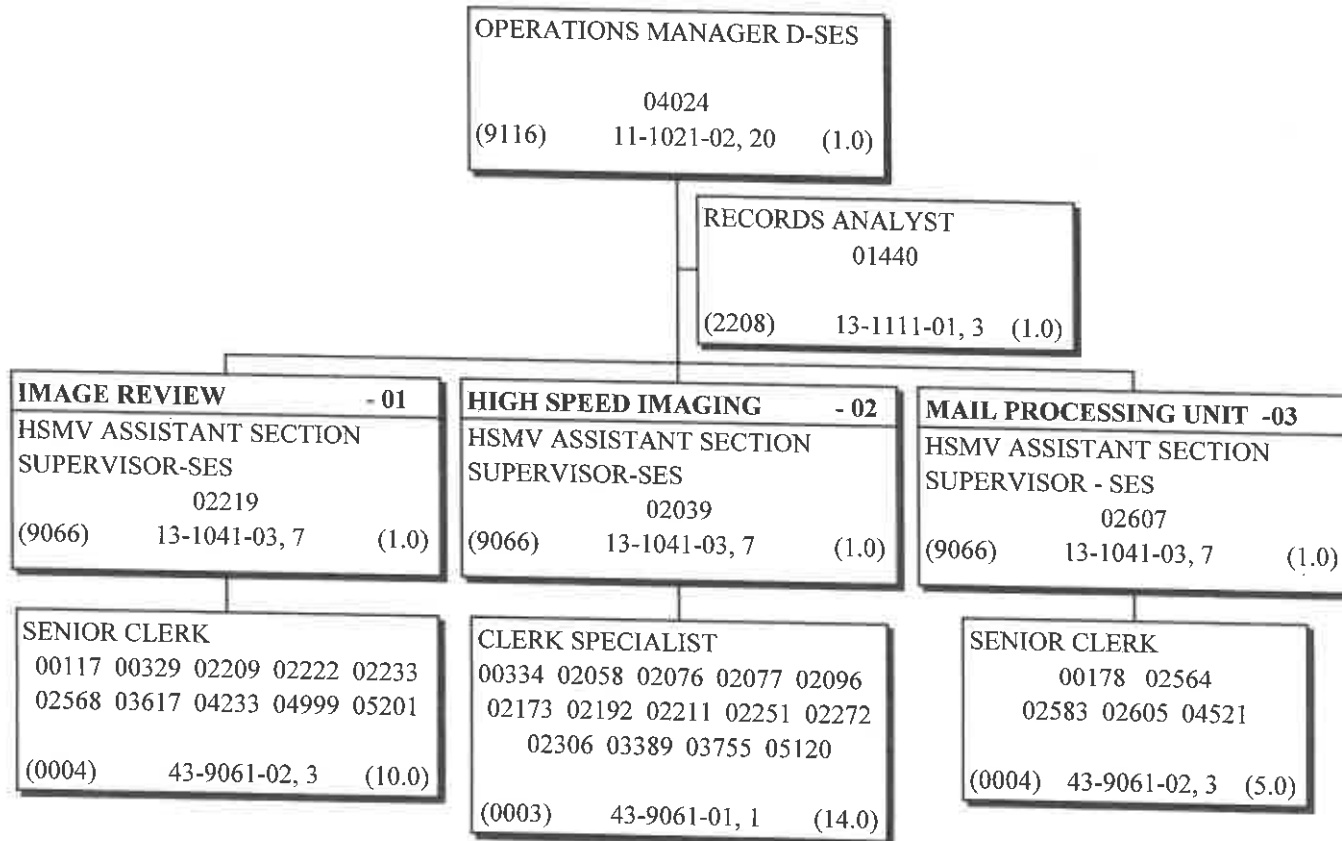
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF RECORDS  
 PUBLIC RECORDS / PUBLIC RECORDS & SUBPOENAS**

DATE: 05/31/2016  
 SEQUENCE: 7621-01-04-02-01  
 OED: *VR*  
 NUMBER OF POSITIONS: 25  
 NUMBER OF FTE'S: 24.5



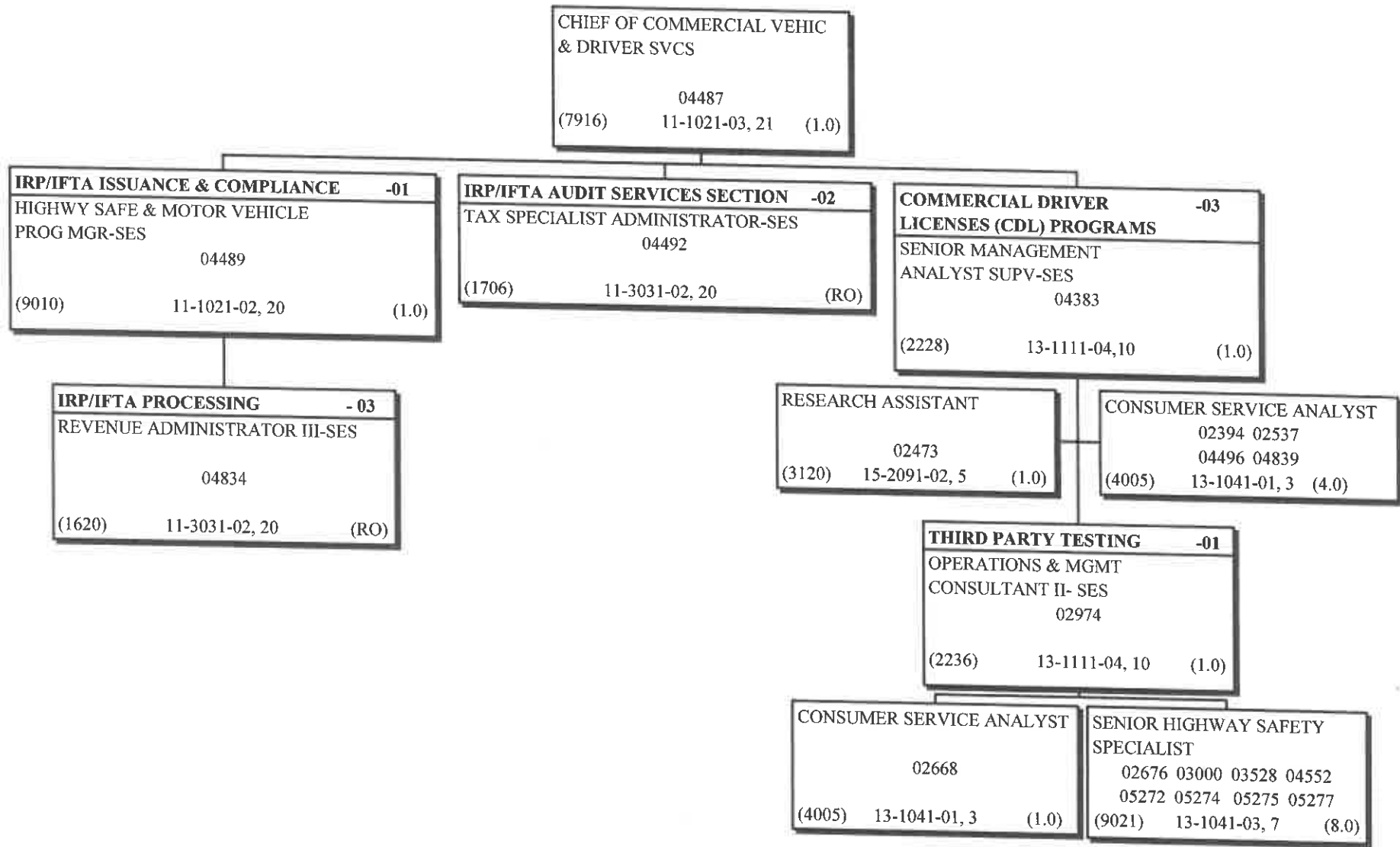
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF RECORDS  
 PUBLIC RECORDS / RECORDS MGMT / SCANNING**

DATE: 10/29/2015  
 SEQUENCE: 7621-01-04-02-02  
 OED: *AC*  
 NUMBER OF POSITIONS: 34  
 NUMBER OF FTE'S: 34.0



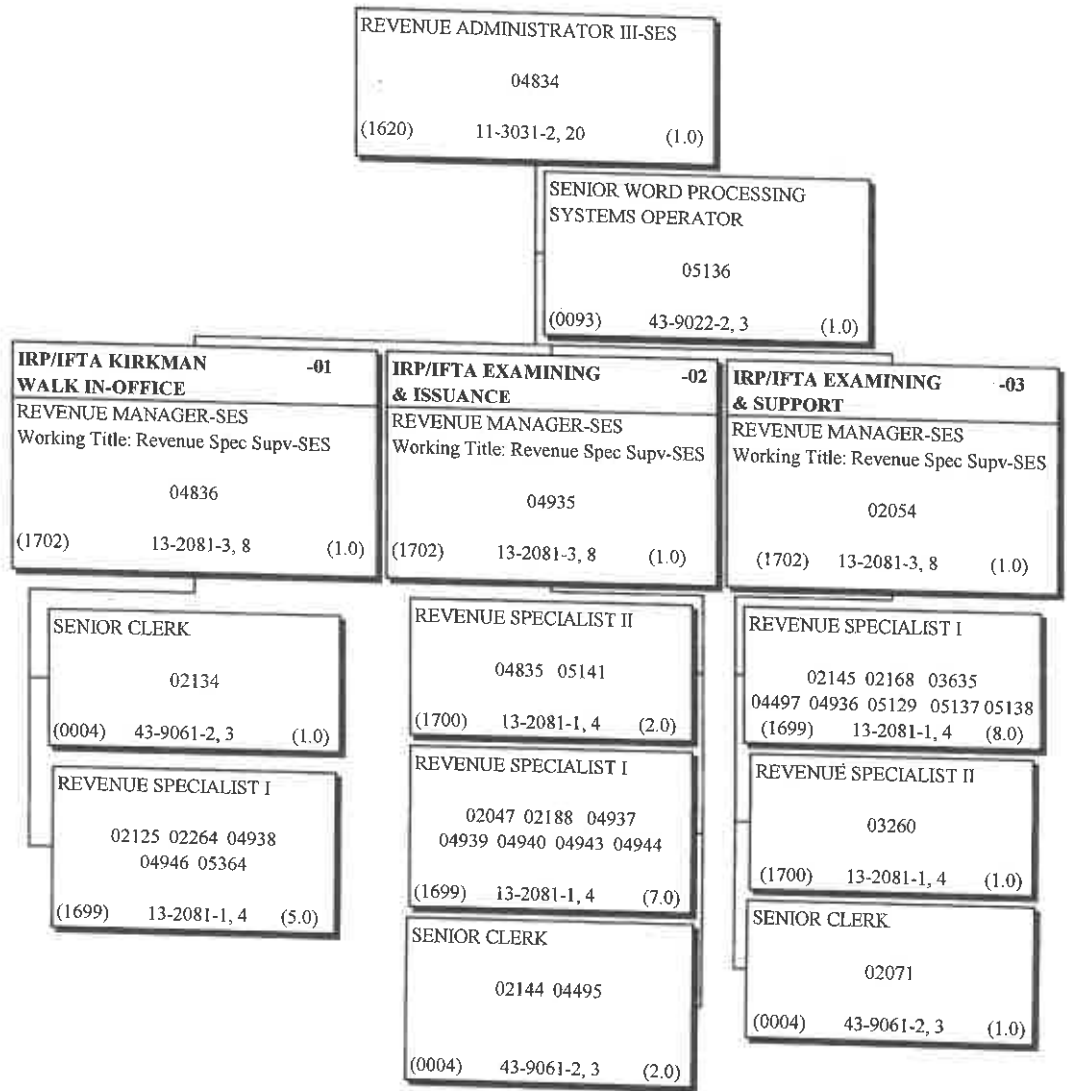
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF COMMERCIAL VEHICLES AND DRIVER SERVICES**

DATE: 04/11/2016  
 SEQUENCE: 7621-01-05  
 OED: *[Signature]*  
 NUMBER OF POSITIONS: 18  
 NUMBER OF FTE'S: 18.0



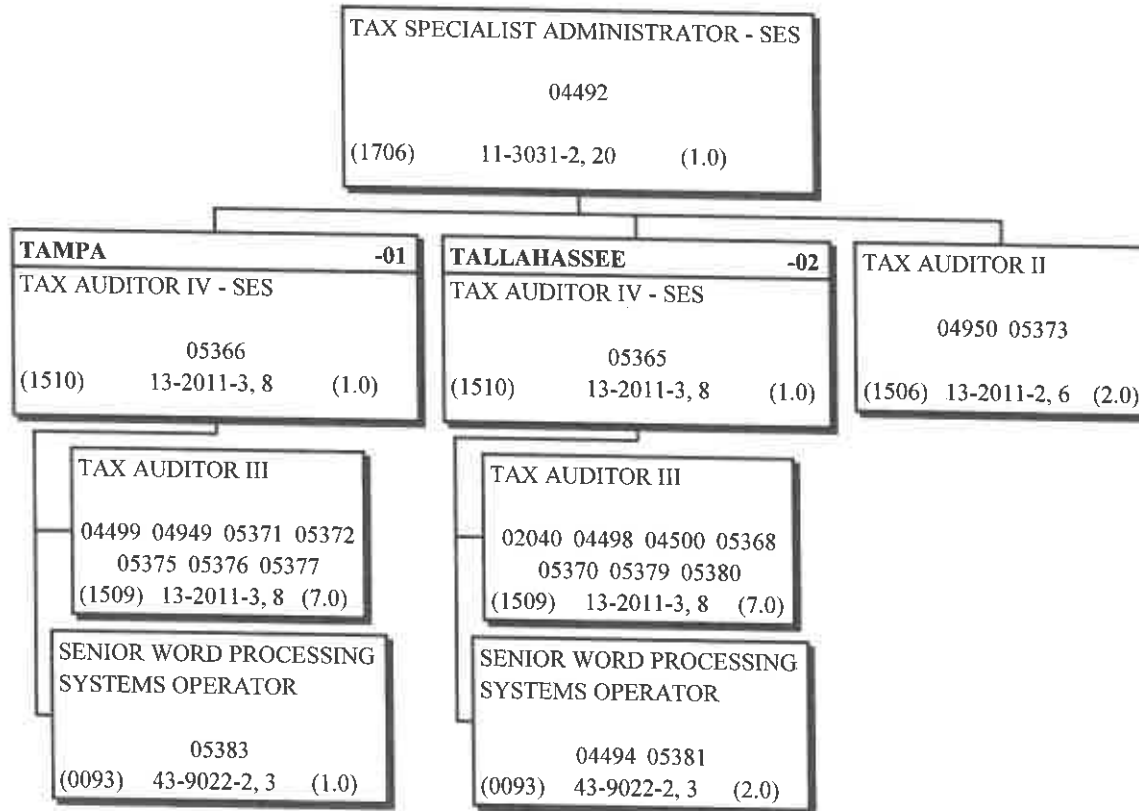
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF COMMERCIAL VEHICLES AND DRIVER SERVICES  
IRP/IFTA PROCESSING**

DATE: 07/01/14  
 SEQUENCE: 7621-01-05-01-03  
 OED: *JMC*  
 NUMBER OF POSITIONS: 32  
 NUMBER OF FTE'S: 32.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF COMMERCIAL VEHICLE AND DRIVER SERVICES  
 IRP/IFTA AUDIT SERVICES**

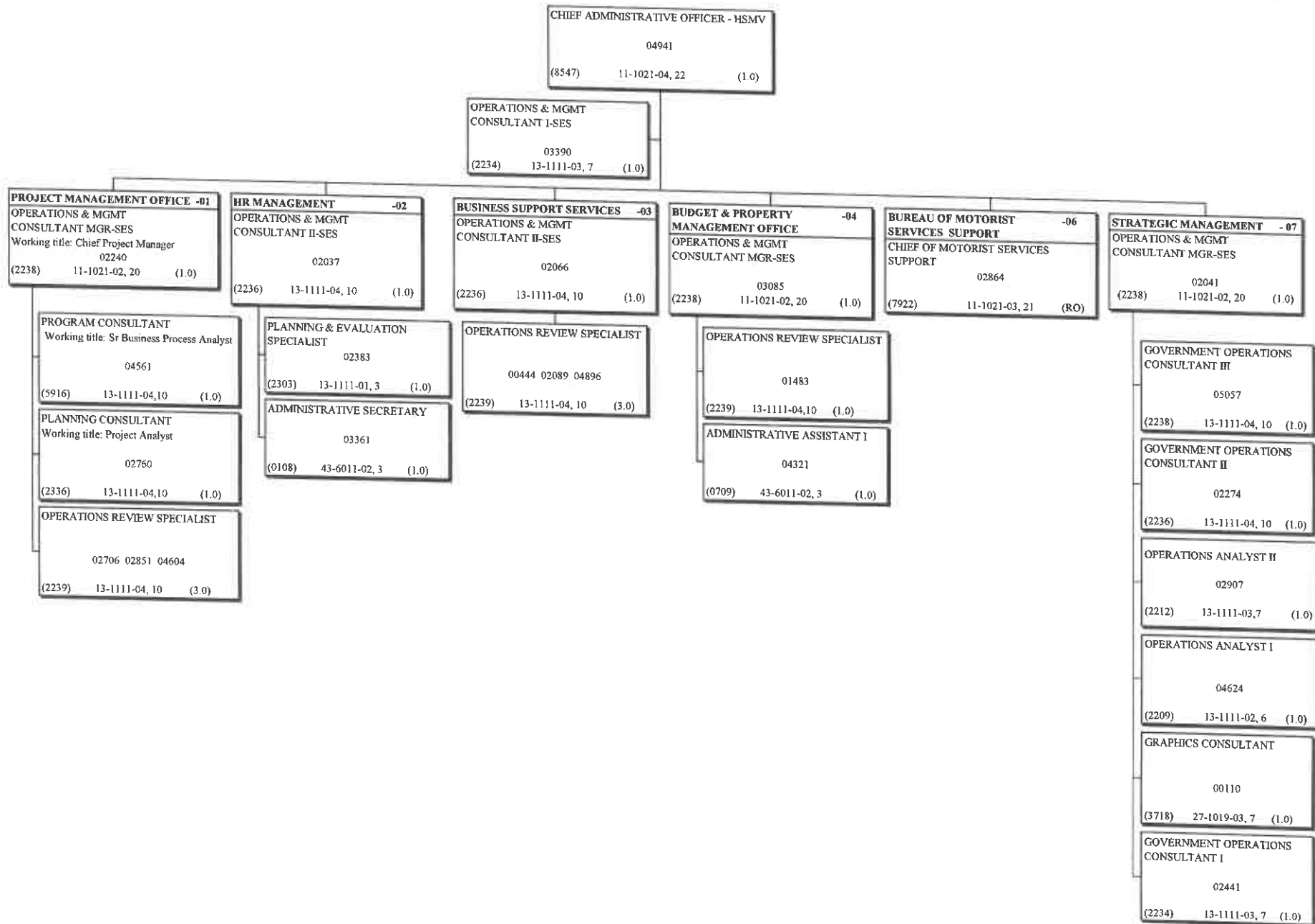
DATE: 04/11/2016  
 SEQUENCE: 7621-01-05-02  
 OED: *TAC*  
 NUMBER OF POSITIONS: 22  
 NUMBER OF FTE'S: 22.0





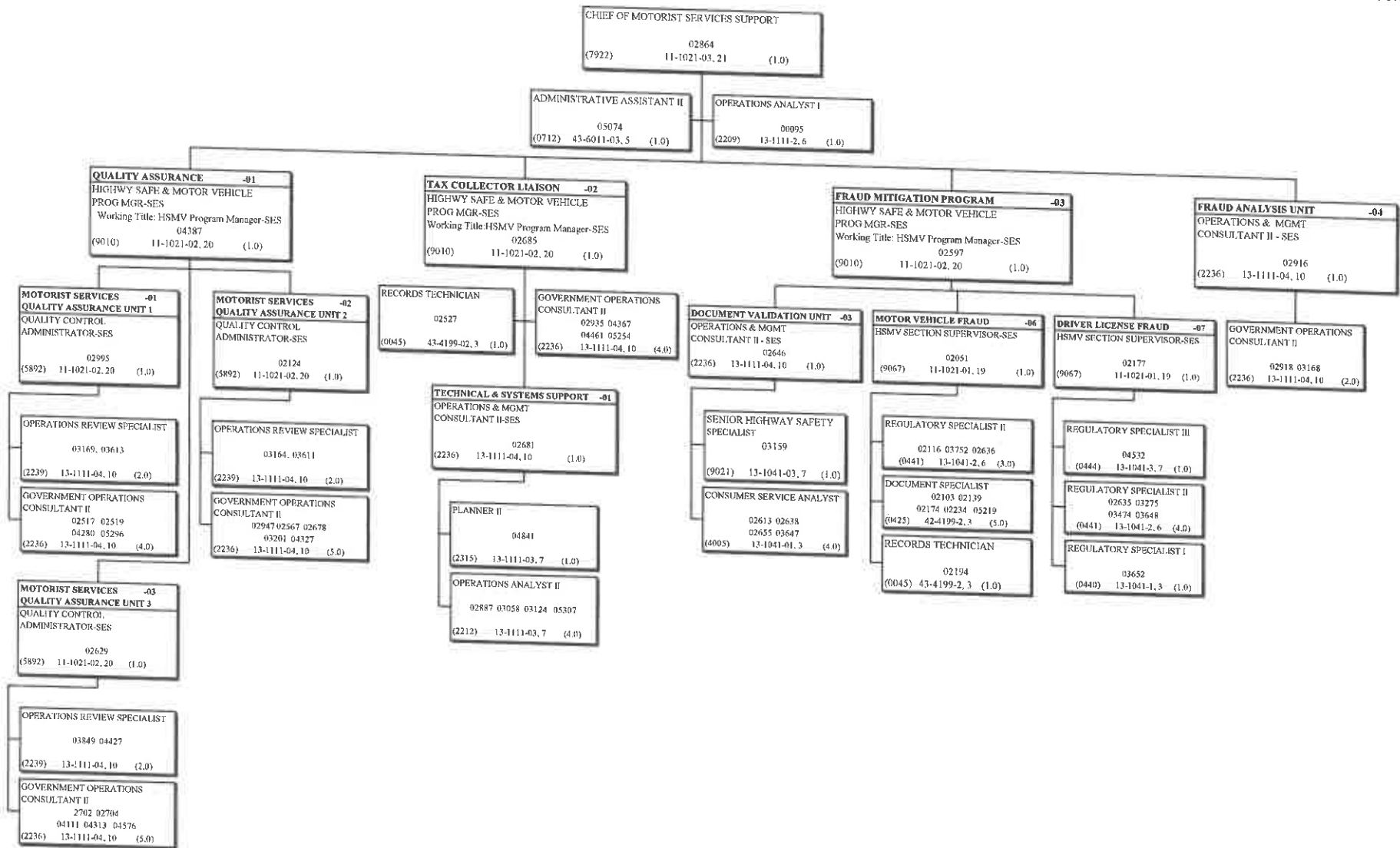
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
PROGRAM PLANNING AND ADMINISTRATION**

DATE: 6/17/2016  
 SEQUENCE: 7621-02  
 OED: *CJS*  
 NUMBER OF POSITIONS: 25  
 NUMBER OF FTE'S: 25.0



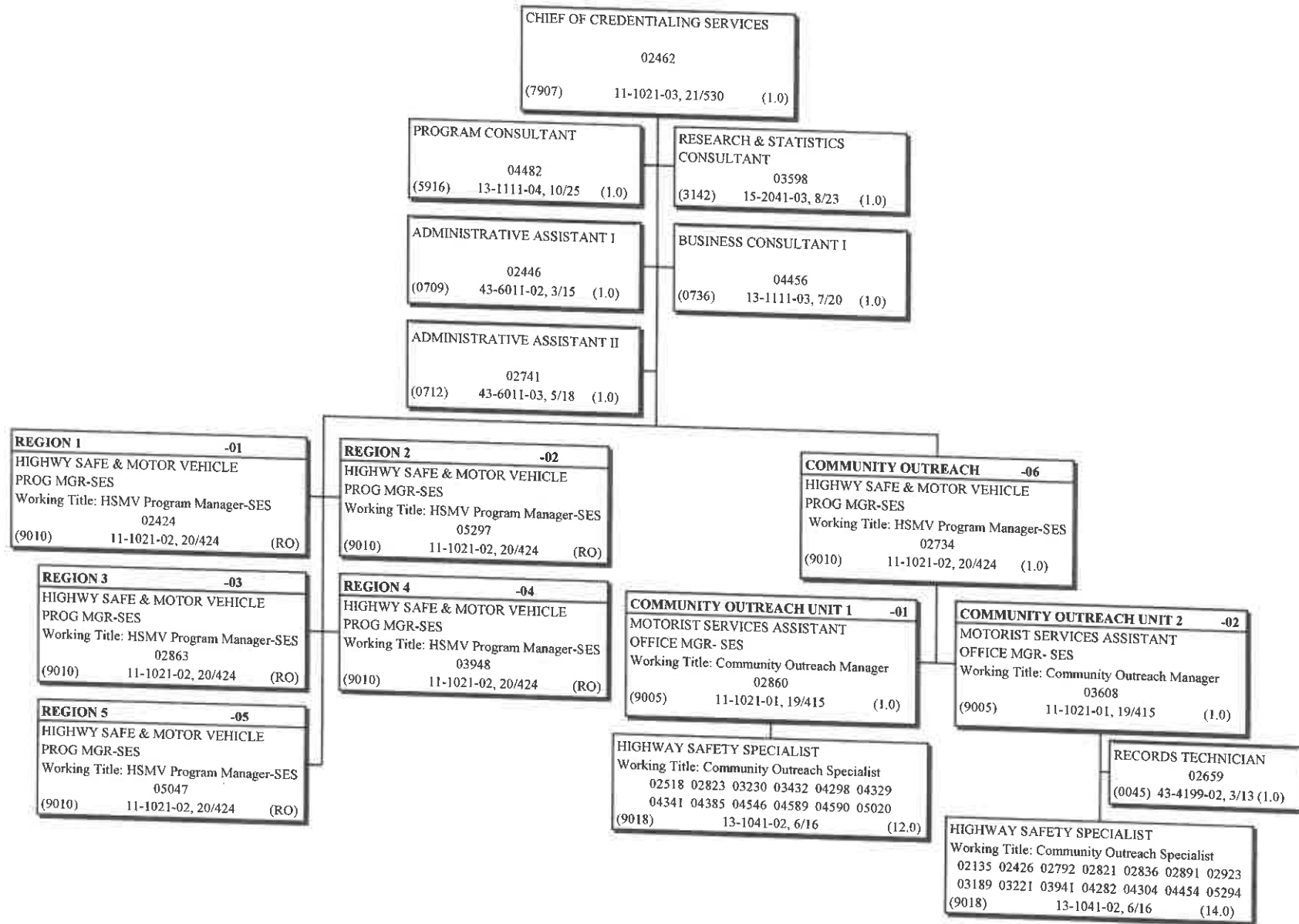
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF MOTORIST SERVICES SUPPORT**

DATE: 06/09/2016  
 SEQUENCE: 7621-02-06  
 OED: *HR*  
 NUMBER OF POSITIONS: 66  
 NUMBER OF FTE'S: 66.0



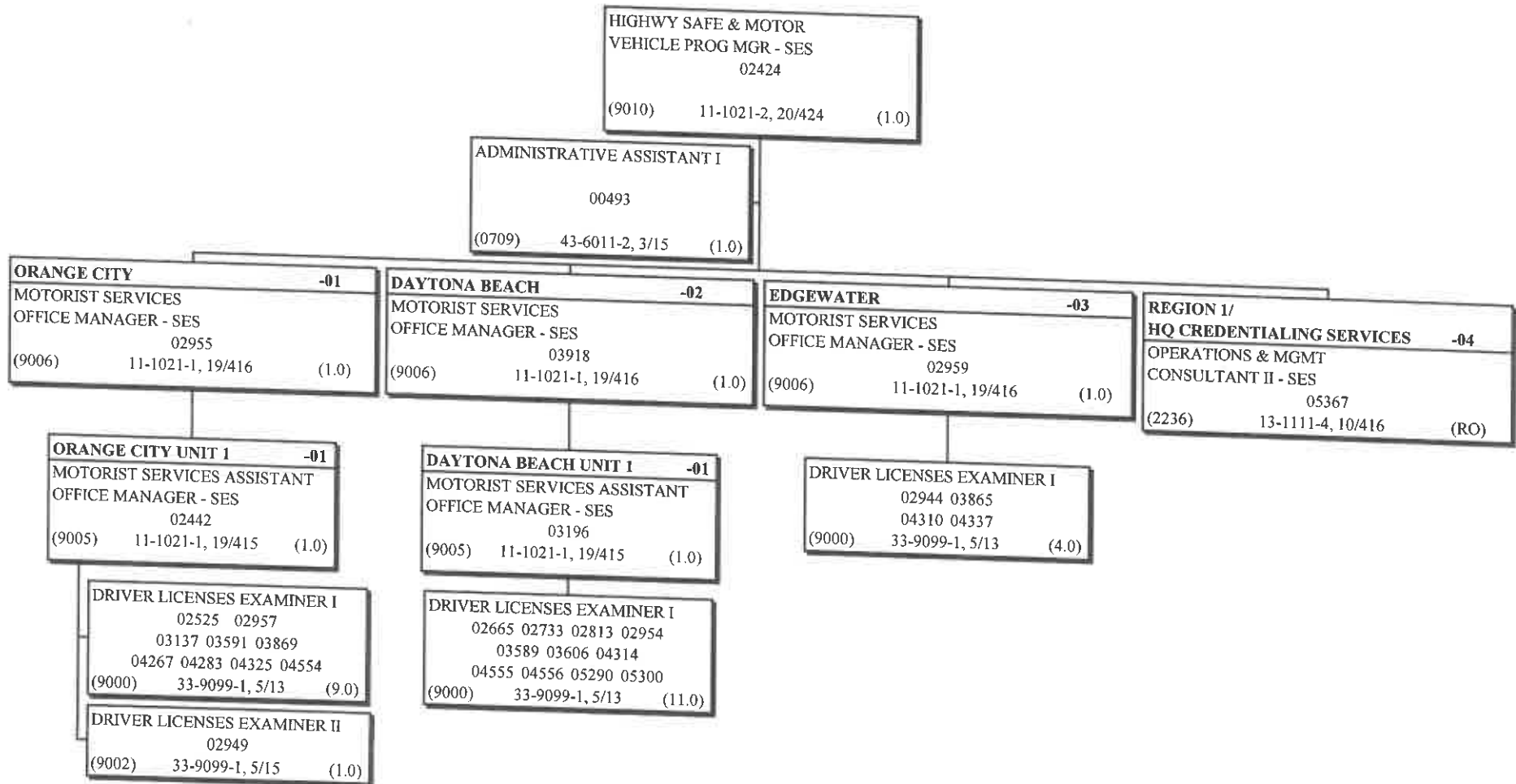
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CREDENTIALING SERVICES**

DATE 06/20/2016  
SEQUENCE: 7621-03-01  
OED: 670  
NUMBER OF POSITIONS: 36  
NUMBER OF FTE'S: 36.0



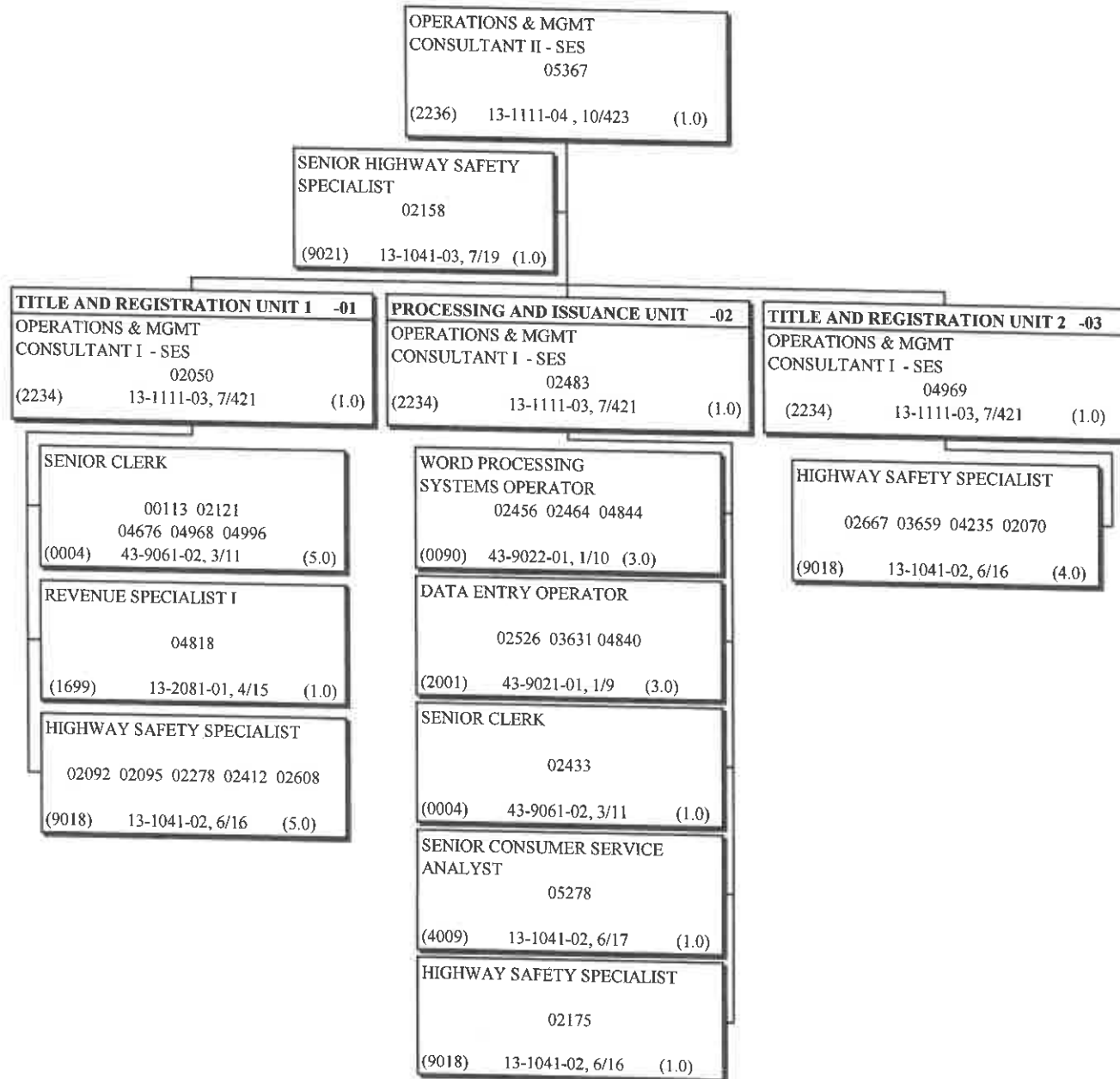
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF CREDENTIALING SERVICES  
 REGION 1**

DATE: 6/27/16  
 SEQUENCE: 03-01-01  
 OED: *[Signature]*  
 NUMBER OF POSITIONS: 32  
 NUMBER OF FTE'S: 32.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF CREDENTIALING SERVICES  
 REGION 1/HQ CREDENTIALING SERVICES**

DATE: 6/17/2016  
 SEQUENCE: 7621-03-01-01-04  
 OED: 650  
 NUMBER OF POSITIONS: 29  
 NUMBER OF FTES: 29.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CREDENTIALING SERVICES  
REGION 2**

DATE: 5/31/2016  
 SEQUENCE: 7621-03-01-02  
 OED: GJS  
 NUMBER OF POSITIONS: 108  
 NUMBER OF FTES: 108.0

HIGHWAY SAFE & MOTOR  
 VEHICLE MGR - SES  
 Working Title: HSMV Program Manager-SES  
 05297  
 (9010) 11-1021-02, 20/424 (1.0)

ADMINISTRATIVE SECRETARY  
 02529  
 (0108) 43-6011-02, 3/12 (1.0)

**LAUDERDALE LAKES -01**  
 MOTORIST SERVICES  
 OFFICE MANAGER - SES  
 03112  
 (9006) 11-1021-01, 19/416 (1.0)

**OAKBROOK -02**  
 MOTORIST SERVICES  
 OFFICE MANAGER - SES  
 03151  
 (9006) 11-1021-01, 19/416 (1.0)

**MARGATE -03**  
 MOTORIST SERVICES  
 OFFICE MANAGER - SES  
 03129  
 (9006) 11-1021-01, 19/416 (1.0)

**DEERFIELD BEACH -04**  
 MOTORIST SERVICES  
 OFFICE MANAGER - SES  
 04284  
 (9006) 11-1021-01, 19/416 (1.0)

**LAUDERDALE LAKES UNIT 1 -01**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 03930  
 (9005) 11-1021-01, 19/415 (1.0)

**LAUDERDALE LAKES UNIT 2 -02**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 03926  
 (9005) 11-1021-01, 19/415 (1.0)

**OAKBROOK UNIT 1 -01**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 04394  
 (9005) 11-1021-01, 19/415 (1.0)

**MARGATE UNIT 1 -01**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 02780  
 (9005) 11-1021-01, 19/415 (1.0)

**MARGATE UNIT 2 -02**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 05014  
 (9005) 11-1021-01, 19/415 (1.0)

**DEERFIELD BEACH UNIT 1 -01**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 03222  
 (9005) 11-1021-01, 19/415 (1.0)

DRIVER LICENSES  
 EXAMINER I  
 00500 02398 02432 02481  
 02730 02775 02924 03119  
 03130 03135 03928  
 (9000) 33-9099-01, 5/13 (11.0)

DRIVER LICENSES  
 EXAMINER I  
 03121 03126 03128  
 03186 03232 03503 03551  
 03927 03929 03931 04274  
 (9000) 33-9099-01, 5/13 (11.0)

DRIVER LICENSES  
 EXAMINER I  
 00368 02437 02819  
 02834 03134  
 03142 03152 03153  
 (9000) 33-9099-01, 5/13 (8.0)

DRIVER LICENSES  
 EXAMINER I  
 02715 02810 03041  
 03136 03550  
 04251 04302 04357  
 (9000) 33-9099-01, 5/13 (8.0)

DRIVER LICENSES  
 EXAMINER I  
 04252 04255 04354  
 04368 04371  
 04446 04451 05315  
 (9000) 33-9099-01, 5/13 (8.0)

DRIVER LICENSES  
 EXAMINER I  
 00369 02852 03116  
 03155 03208 03590  
 03597 03870 04273  
 (9000) 33-9099-01, 5/13 (9.0)

**LAUDERDALE LAKES UNIT 3 -03**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 03914  
 (9005) 11-1021-01, 19/415 (1.0)

**OAKBROOK UNIT 2 -02**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 05285  
 (9005) 11-1021-01, 19/415 (1.0)

**MARGATE UNIT 3 -03**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 04250  
 (9005) 11-1021-01, 19/415 (1.0)

**DEERFIELD BEACH UNIT 2 -02**  
 MOTORIST SERVICES ASSISTANT  
 OFFICE MGR- SES  
 00507  
 (9005) 11-1021-01, 19/415 (1.0)

DRIVER LICENSES  
 EXAMINER I  
 02453 03122 03144 03605  
 04242 04438 04440 04442  
 04445 04460 04574 05035  
 (9000) 33-9099-01, 5/13 (12.0)

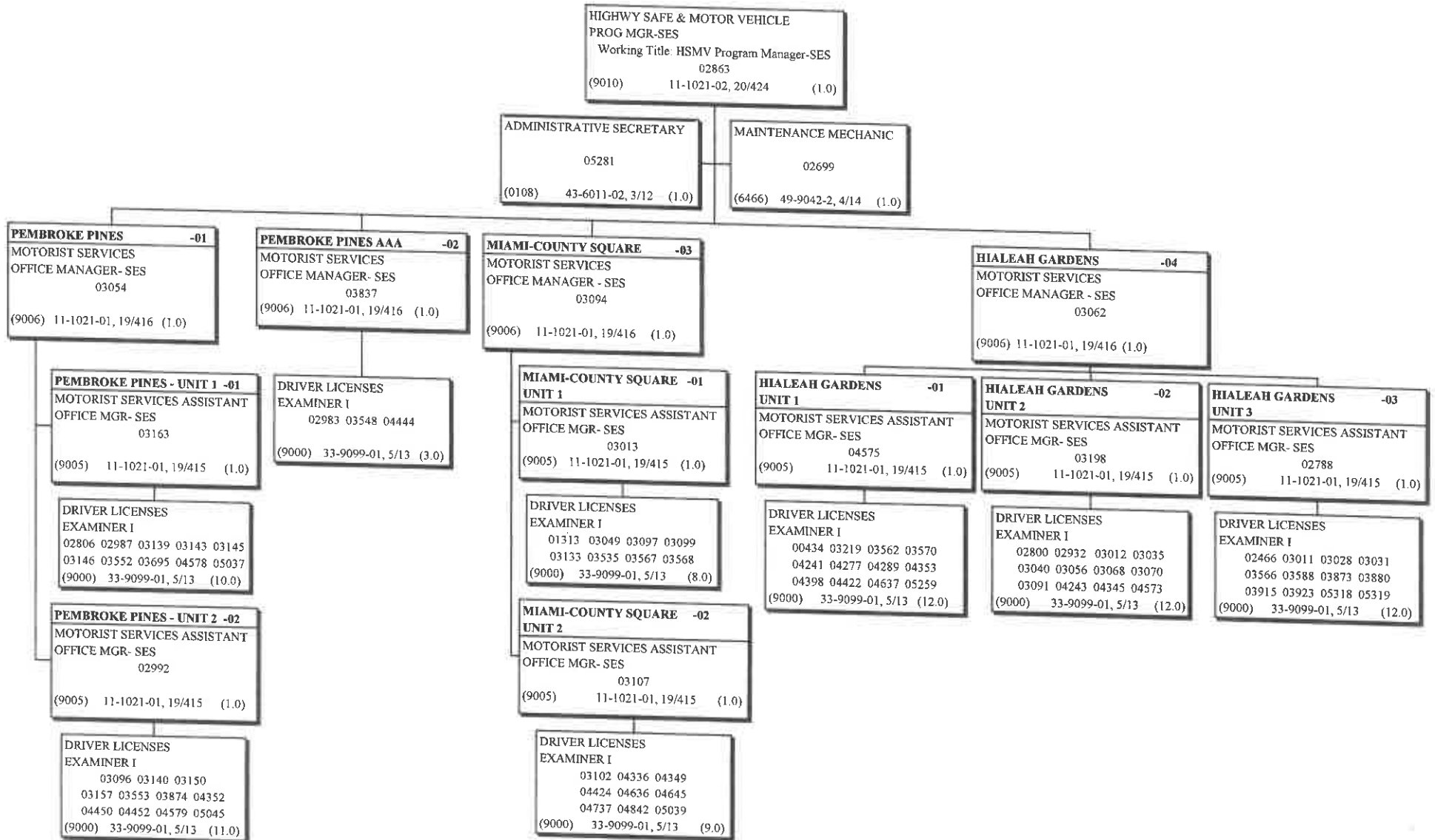
DRIVER LICENSES  
 EXAMINER I  
 03154 03156 03574  
 04287 04355  
 04439 04449 04845  
 (9000) 33-9099-01, 5/13 (8.0)

DRIVER LICENSES  
 EXAMINER I  
 01632 02711 03125  
 03577 03878  
 04253 04254 04646  
 (9000) 33-9099-01, 5/13 (8.0)


DRIVER LICENSES  
 EXAMINER I  
 03937 04285 04286  
 04288 04448 04580  
 04647 04738 05031  
 (9000) 33-9099-01, 5/13 (9.0)

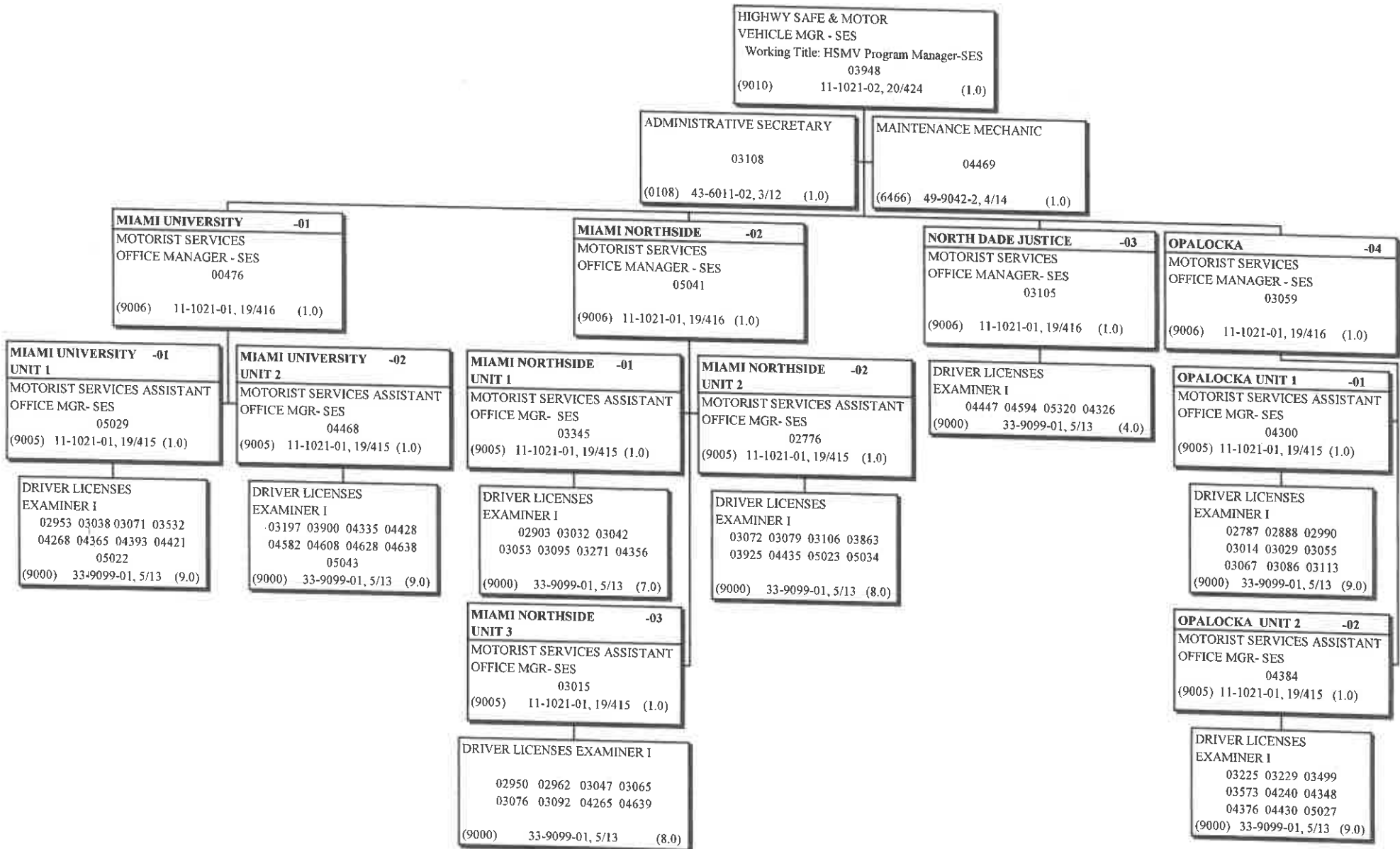
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CREDENTIALING SERVICES  
REGION 3**

DATE: 12/23/2015  
 SEQUENCE: 7621-03-01-03  
 OED: HHC  
 NUMBER OF POSITIONS: 91  
 NUMBER OF FTES: 91.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CREDENTIALING SERVICES  
REGION 4**

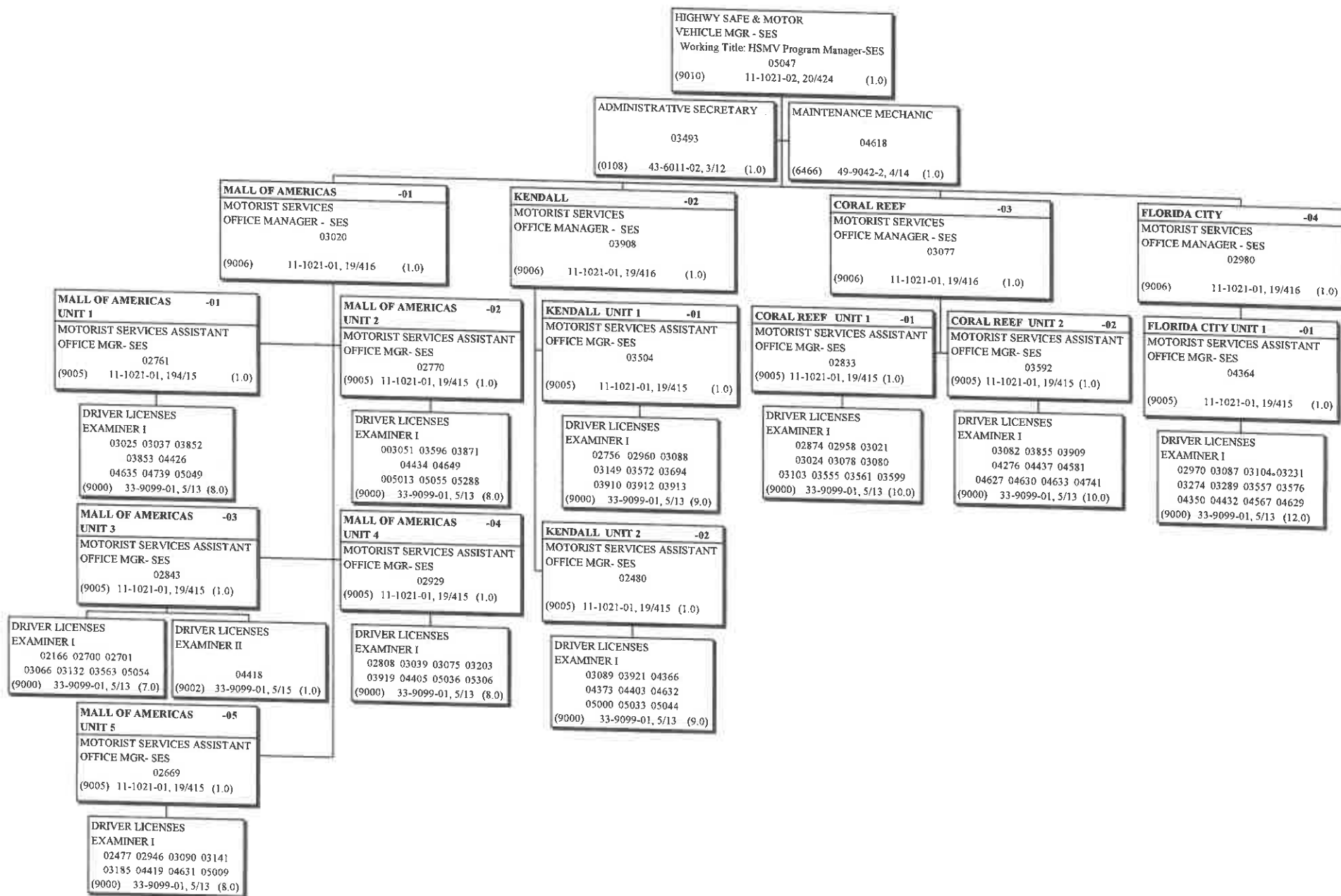
DATE: 5/31/2016  
SEQUENCE: 7621-03-01-04  
OED:   
NUMBER OF POSITIONS: 77  
NUMBER OF FTES: 77.0





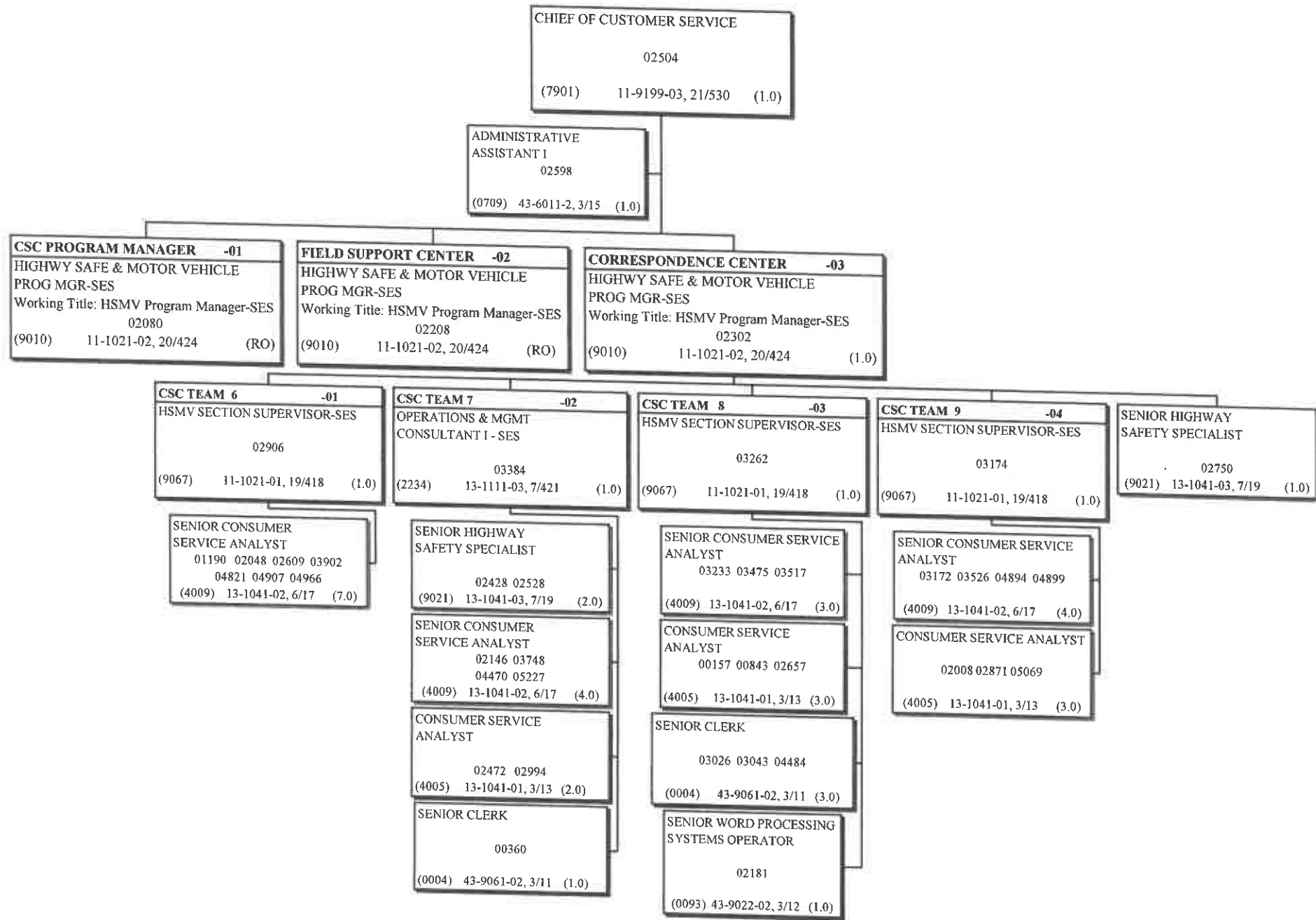
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CREDENTIALING SERVICES  
REGION 5**

DATE: 10/23/2015  
SEQUENCE: 01-03-01-05  
OED:  
NUMBER OF POSITIONS: 107  
NUMBER OF FTES: 107.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CUSTOMER SERVICE**

DATE: 06/24/2016  
 SEQUENCE: 7621-03-02  
 OED: *GJO*  
 NUMBER OF POSITIONS: 41  
 NUMBER OF FTE'S: 41.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 DIVISION OF MOTORIST SERVICES  
 BUREAU OF CUSTOMER SERVICE  
 CUSTOMER SERVICE CENTER**

DATE: 05/17/2016  
 SEQUEN: 7621-03-02-01  
 OED: *[Signature]*  
 NUMBER OF POSITIONS: 101  
 NUMBER OF FTE'S: 101

HIGHWAY SAFE & MOTOR VEHICLE  
 PROG MGR-SES  
 Working Title: HSMV Program Manager-SES  
 02080  
 (9010) 11-1021-2, 20/424 (1.0)

**CSC TEAM 1 -01**  
 HSMV SECTION  
 SUPERVISOR - SES  
 04236  
 (9067) 11-1021-1, 19/418 (1.0)

**CSC TEAM 2 -02**  
 HSMV SECTION  
 SUPERVISOR - SES  
 01250  
 (9067) 11-1021-1, 19/418 (1.0)

**CSC TEAM 3 -03**  
 HSMV SECTION  
 SUPERVISOR - SES  
 02546  
 (9067) 11-1021-1, 19/418 (1.0)

**CSC TEAM 4 -04**  
 HSMV SECTION  
 SUPERVISOR - SES  
 04849  
 (9067) 11-1021-1, 19/418 (1.0)

SR. CONSUMER SERVICE ANALYST  
 00358 02167 02170  
 02281 02549 02550 03744  
 04809 04812 04832  
 (4009) 13-1041-2, 6/17 (10.0)

SR. CONSUMER SERVICE ANALYST  
 01155 01307 02073  
 02107 02826 03479  
 03633 04826 04833 04908  
 (4009) 13-1041-2, 6/17 (10.0)

SR. CONSUMER SERVICE ANALYST  
 01375 01409 02093  
 02191 02766 02848  
 02870 04828 04958  
 (4009) 13-1041-2, 6/17 (9.0)

SR. CONSUMER SERVICE ANALYST  
 01362 02443 02451  
 02617 02801 03741  
 04520 04817 04819 04905  
 (4009) 13-1041-2, 6/17 (10.0)

**CSC TEAM 5 -05**  
 HSMV SECTION  
 SUPERVISOR - SES  
 03190  
 (9067) 11-1021-1, 19/418 (1.0)

**CSC CONSULTANTS -06**  
 OPERATIONS & MANAGEMENT  
 CONSULTANT I - SES  
 00845  
 (2234) 13-1111-3, 7/421 (1.0)

**KISSIMMEE CALL CENTER -07**  
 FIELD SERVICES MANAGER - HSMV  
 02921  
 (7909) 11-1021-02, 20/425 (1.0)

SR. CONSUMER SERVICE ANALYST  
 02102 02407 03455 04548  
 04592 04808 04823 05226 05314  
 (4009) 13-1041-2, 6/17 (9.0)

SENIOR HIGHWAY SAFETY  
 SPECIALIST  
 00092 00147 00903 01169  
 01554 02450 02565 04727  
 03480 03537 04827 04902  
 (9021) 13-1041-3, 7/19 (12.0)

**KISSIMMEE CALL CENTER UNIT 1 -01**  
 HSMV SECTION  
 SUPERVISOR - SES  
 02772  
 (9067) 11-1021-1, 19/418 (1.0)

**KISSIMMEE CALL CENTER UNIT 2 -02**  
 HSMV SECTION  
 SUPERVISOR - SES  
 05305  
 (9067) 11-1021-1, 19/418 (1.0)

**KISSIMMEE CALL CENTER UNIT 3 -03**  
 HSMV SECTION  
 SUPERVISOR - SES  
 02889  
 (9067) 11-1021-1, 19/418 (1.0)


SR. CONSUMER SERVICE ANALYST  
 02917 02922 03500 03580 04247  
 04272 04463 04610 05010 05309  
 (4009) 13-1041-2, 6/17 (10.0)

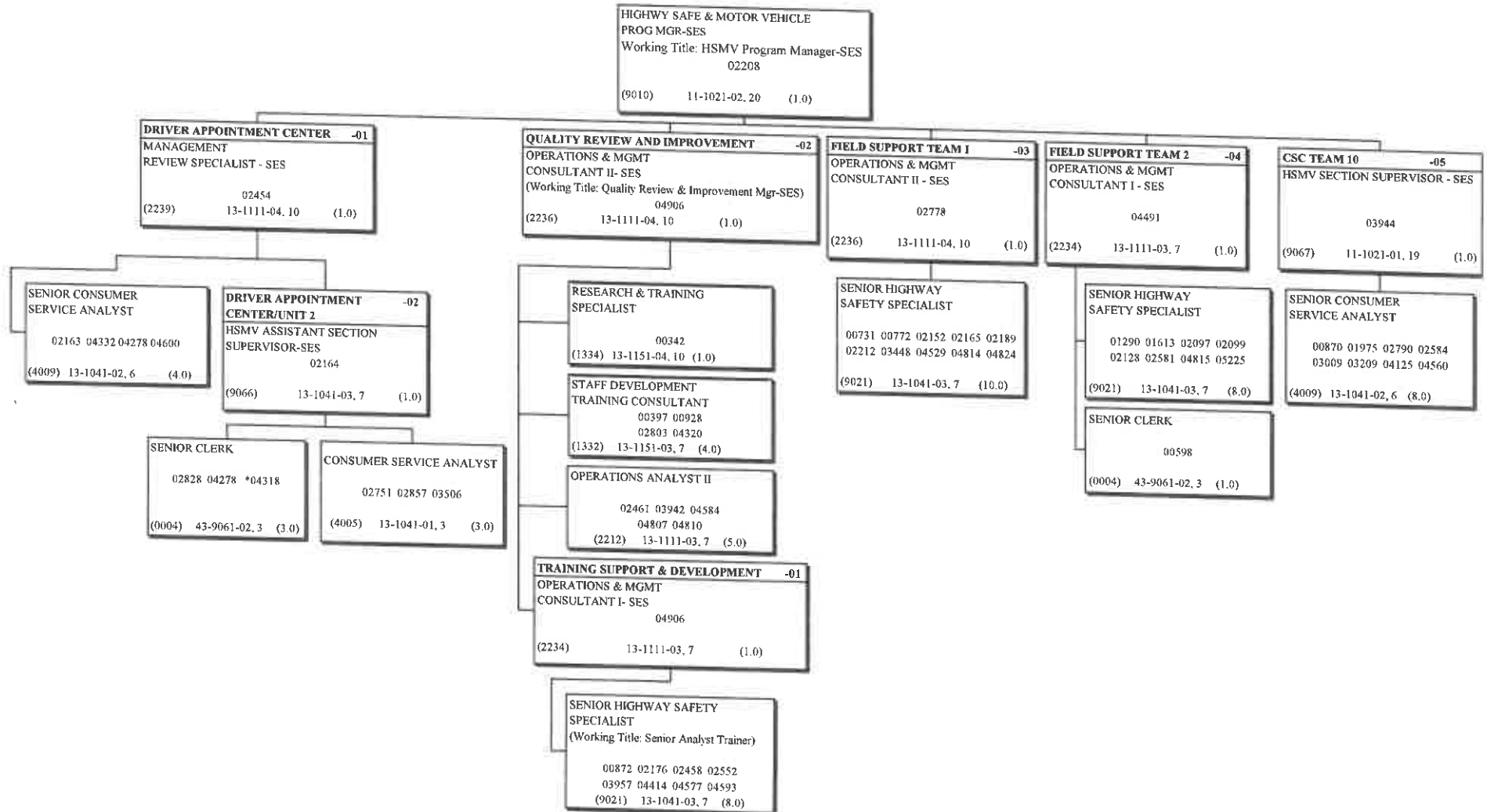
SR. CONSUMER SERVICE ANALYST  
 02759 02774 02847 03187 03864  
 04333 04339 04411 04856 05313  
 (4009) 13-1041-2, 6/17 (10.0)

SR. CONSUMER SERVICE ANALYST  
 02767 02909 03206 03465 03587  
 04358 04550 05011 05038 05052  
 (4009) 13-1041-2, 6/17 (10.0)

CSC PROGRAM MANGER

**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
DIVISION OF MOTORIST SERVICES  
BUREAU OF CUSTOMER SERVICE/ FIELD SUPPORT CENTER**

DATE: 06/02/2016  
 SEQUENCE: 7621-03-02-02  
 OED:   
 NUMBER OF POSITIONS: 63  
 NUMBER OF FTE'S: 63.0

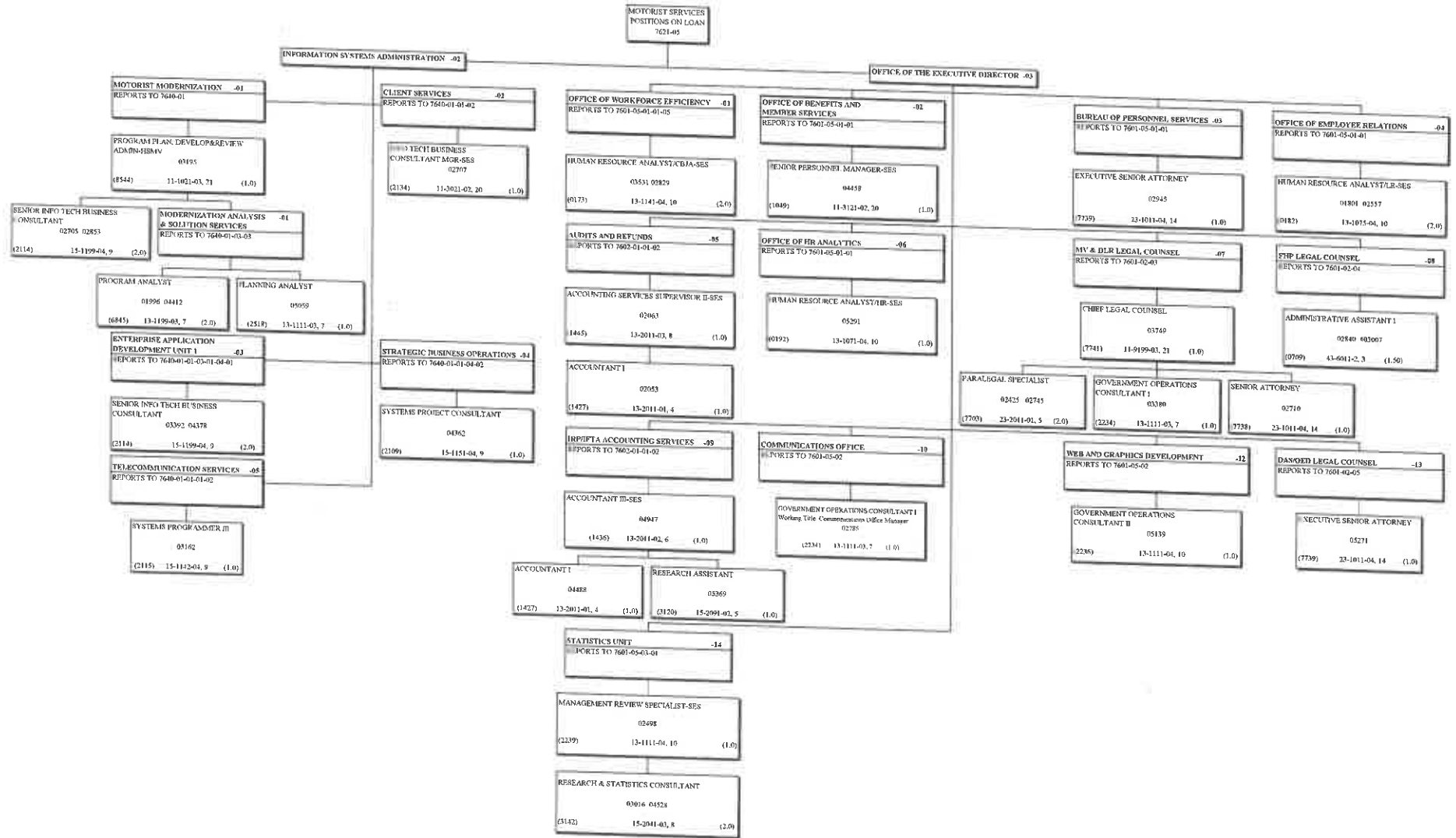


# DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES

## DIVISION OF MOTORIST SERVICES

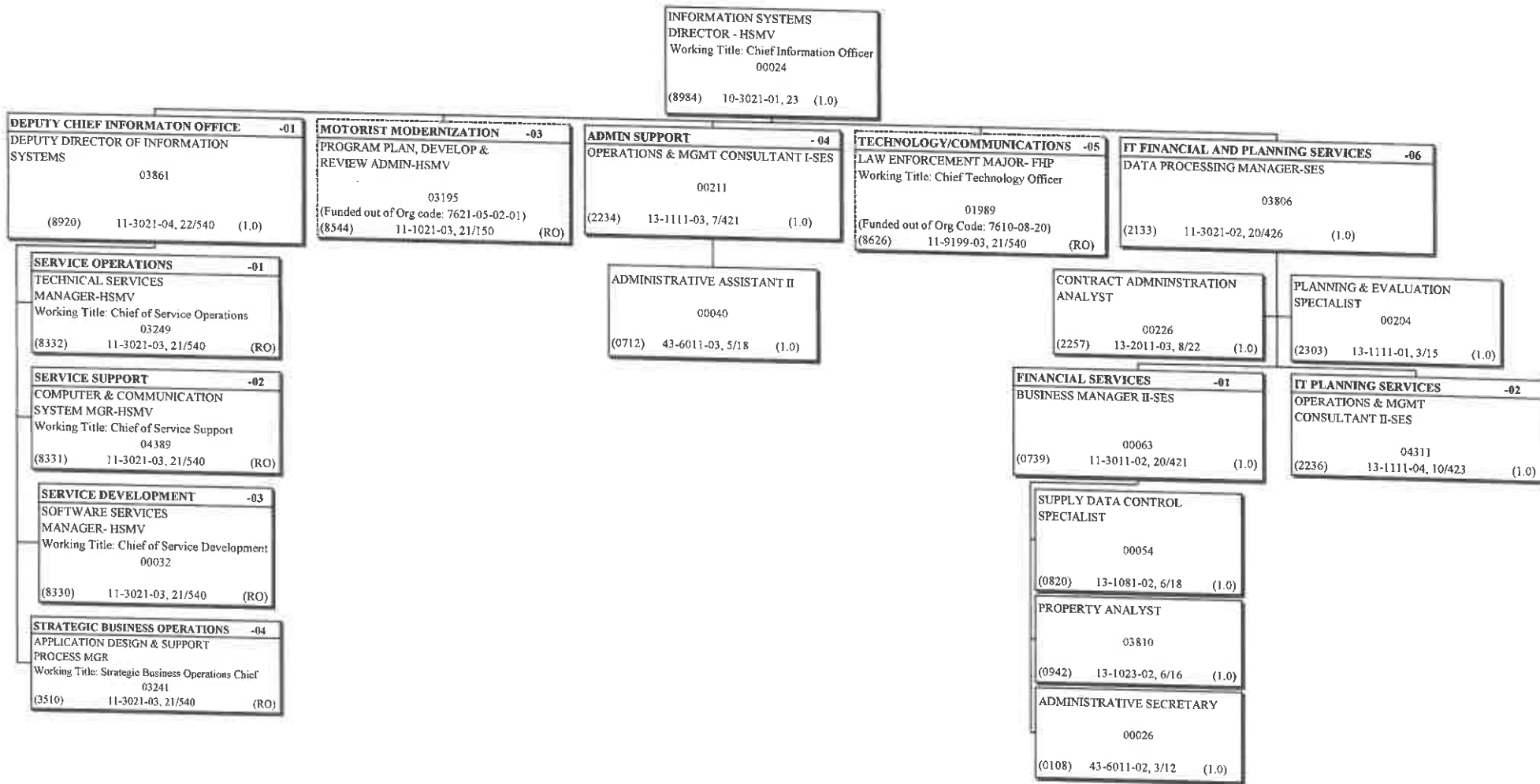
### POSITIONS ON LOAN

DATE: 03/15/2016  
 SEQUENCE: 7621-05  
 OED: AC  
 NUMBER OF POSITIONS: 36  
 NUMBER OF FTE'S: 35.5



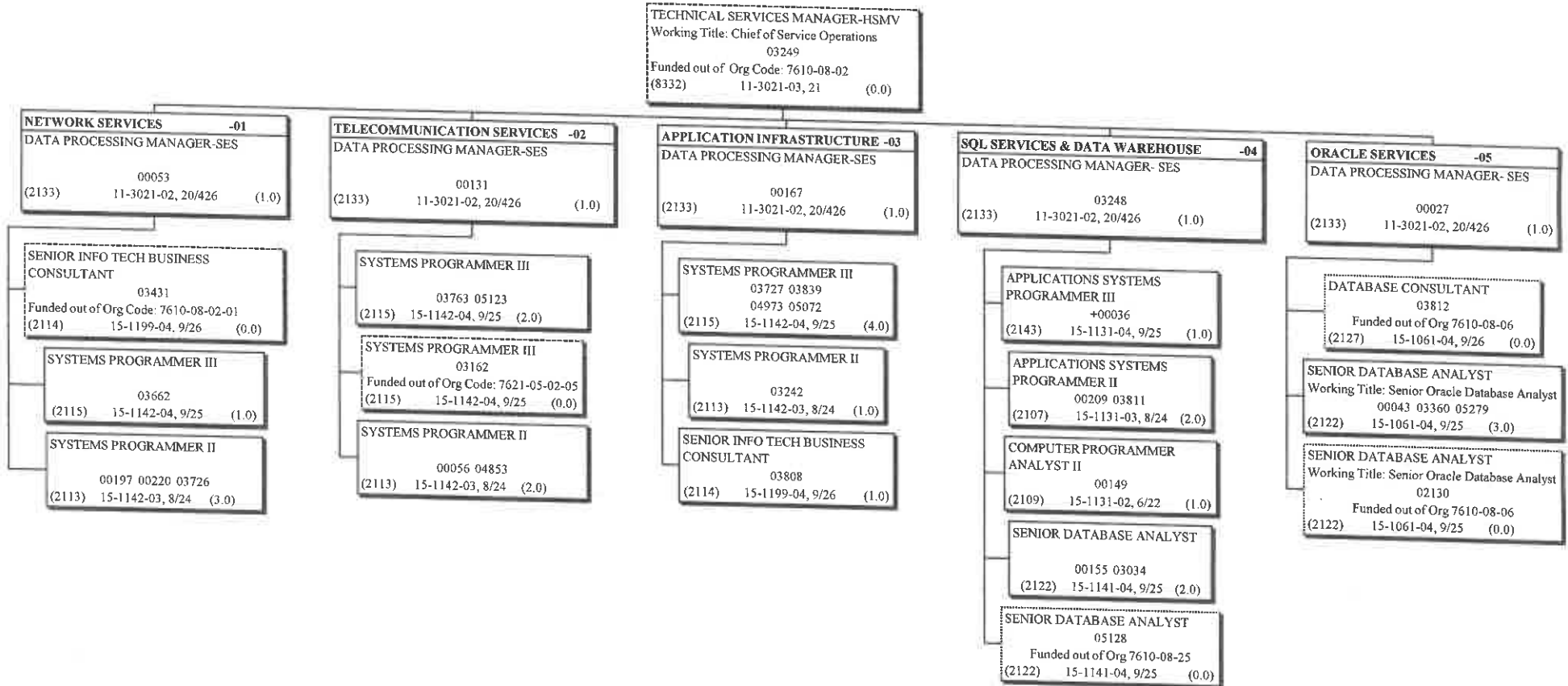
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION**

DATE: 06/03/2016  
 SEQUENCE: 7640-01  
 OED: *APM*  
 NUMBER OF POSITIONS: 12  
 NUMBER OF FTES: 12.0



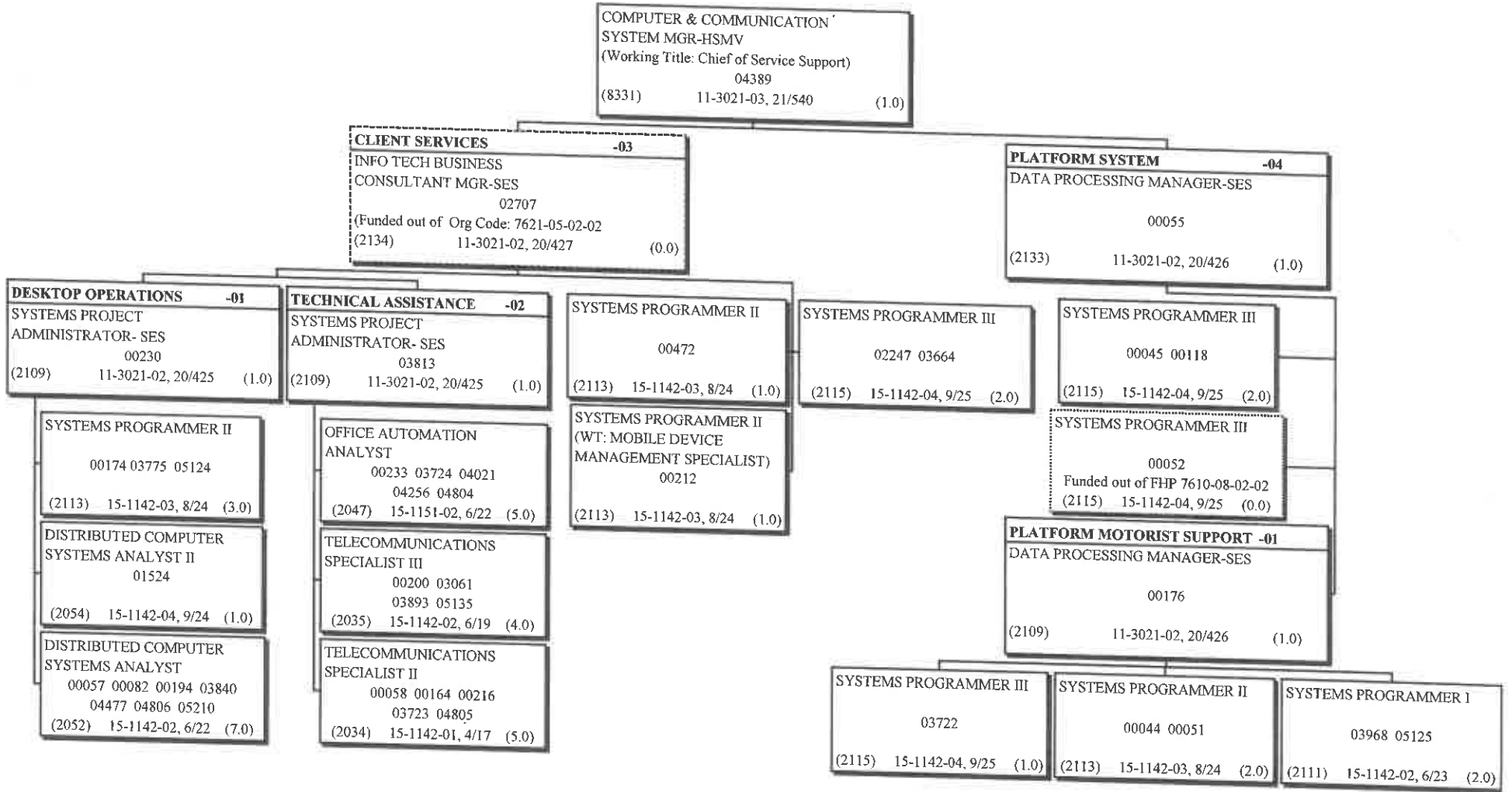
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION  
SERVICE OPERATIONS**

DATE: 05/17/2016  
SEQUENCE: 7640-01-01-01  
OED: *WJ*  
NUMBER OF POSITIONS: 28  
NUMBER OF FTE'S: 28



**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION  
SERVICE SUPPORT**

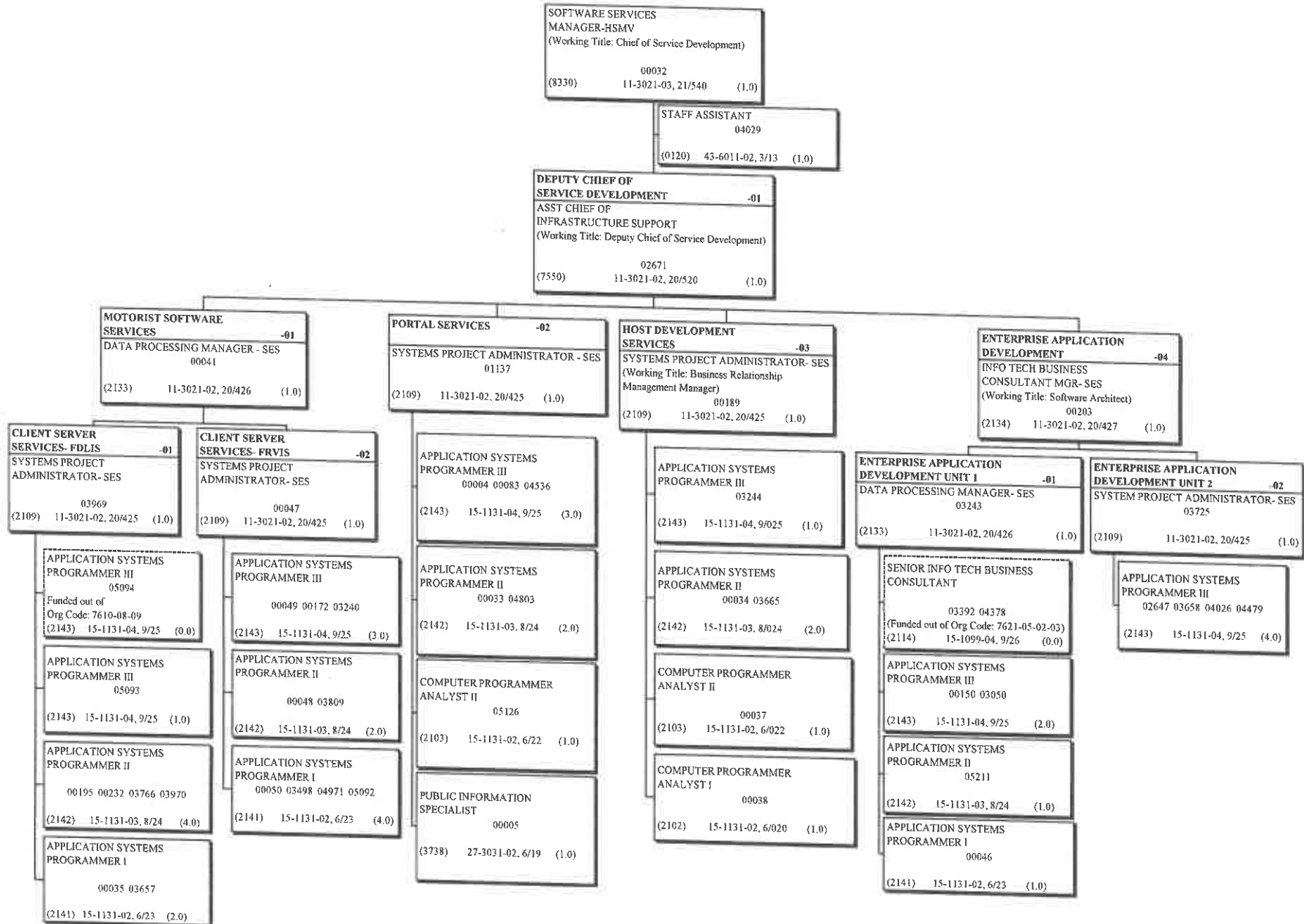
DATE: 06/24/2016  
 SEQUENCE: 7640-01-01-02  
 OED: 62  
 NUMBER OF POSITIONS: 41  
 NUMBER OF FTES: 41.0





**DEPARTMENT OF HIGHWAY AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION  
SERVICE DEVELOPMENT**

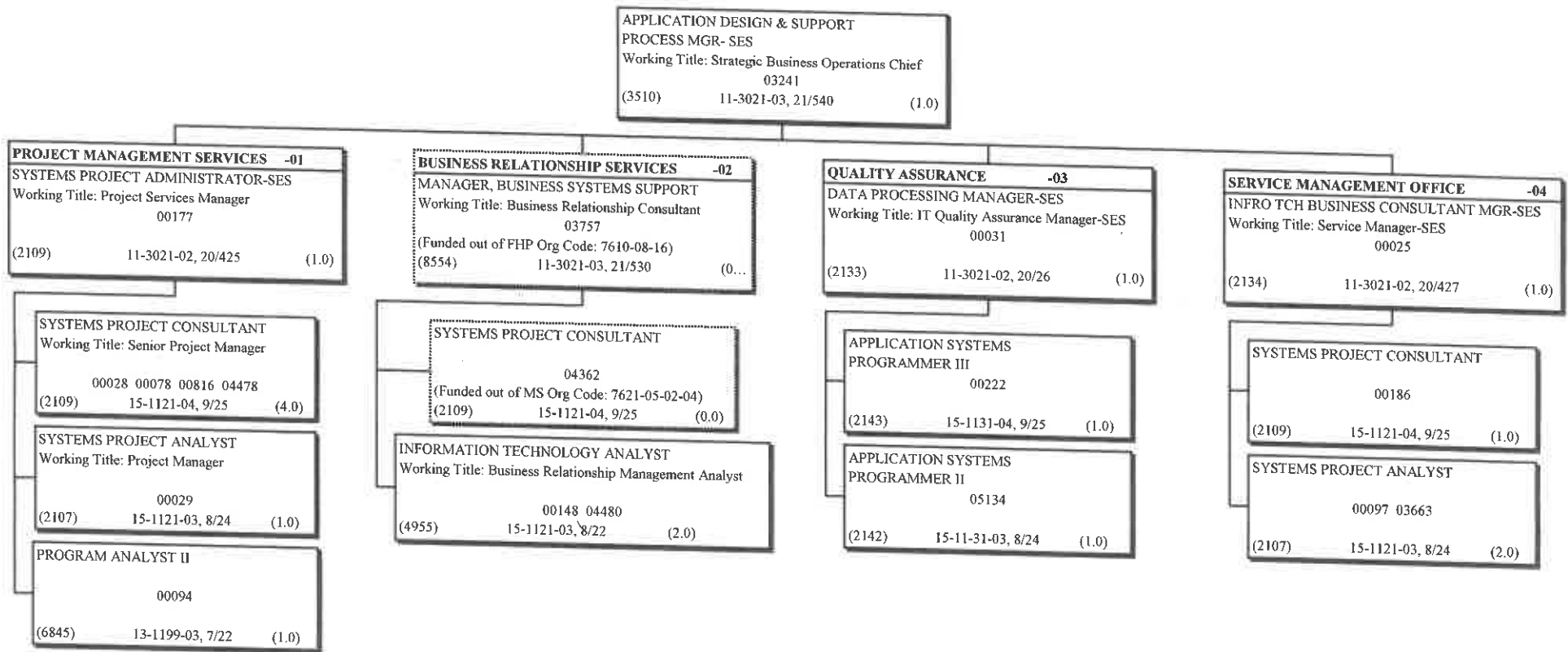
DATE: 05/18/2016  
 SEQUENCE: 7640-01-01-03  
 OED: *APM*  
 NUMBER OF POSITIONS: 47  
 NUMBER OF FTES: 47.0



\*Lead Worker

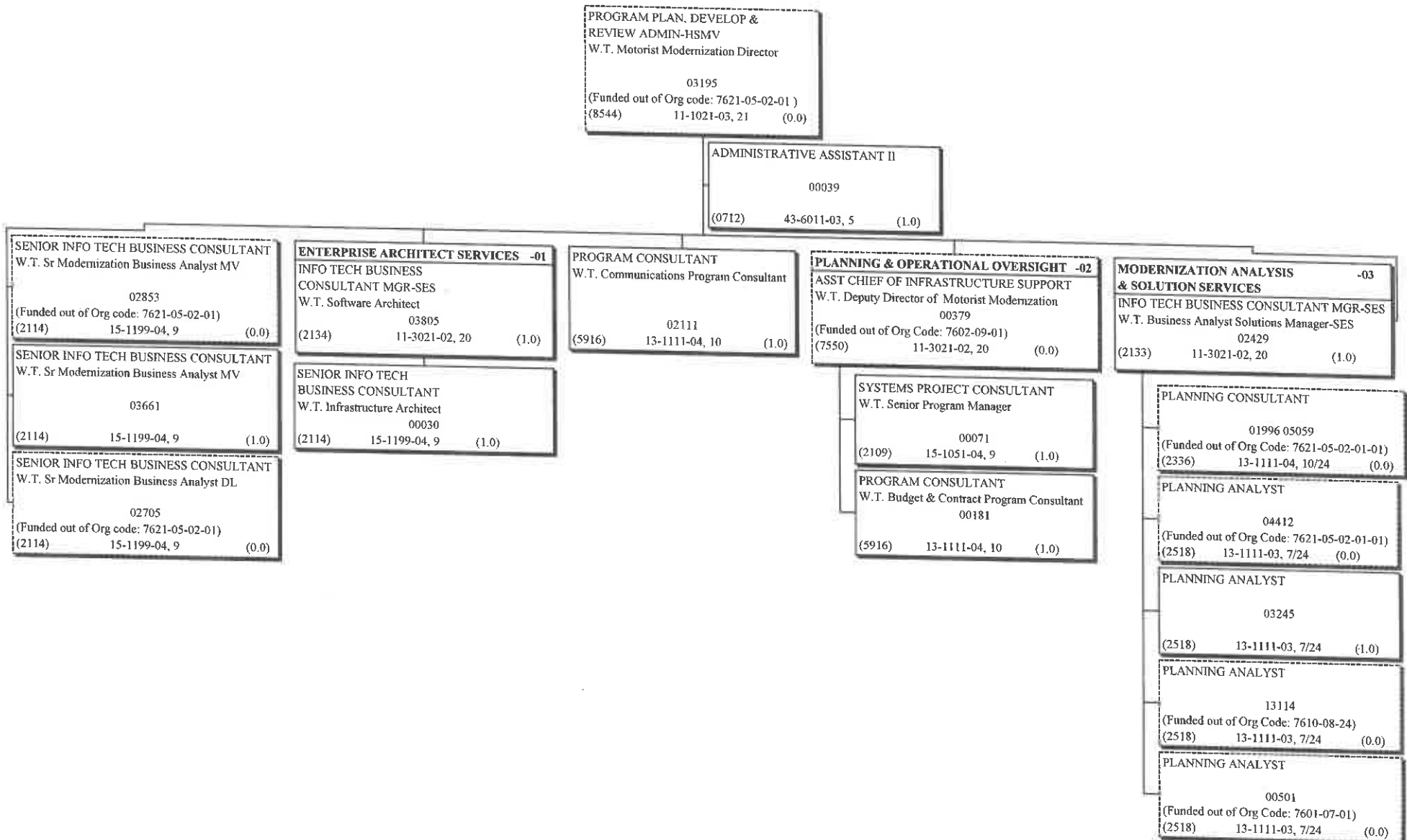
**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION  
STRATEGIC BUSINESS OPERATIONS**

DATE: 05/17/2016  
 SEQUENCE: 7640-01-01-04  
 OED: *ad*  
 NUMBER OF POSITIONS: 17  
 NUMBER OF FTES: 17.0



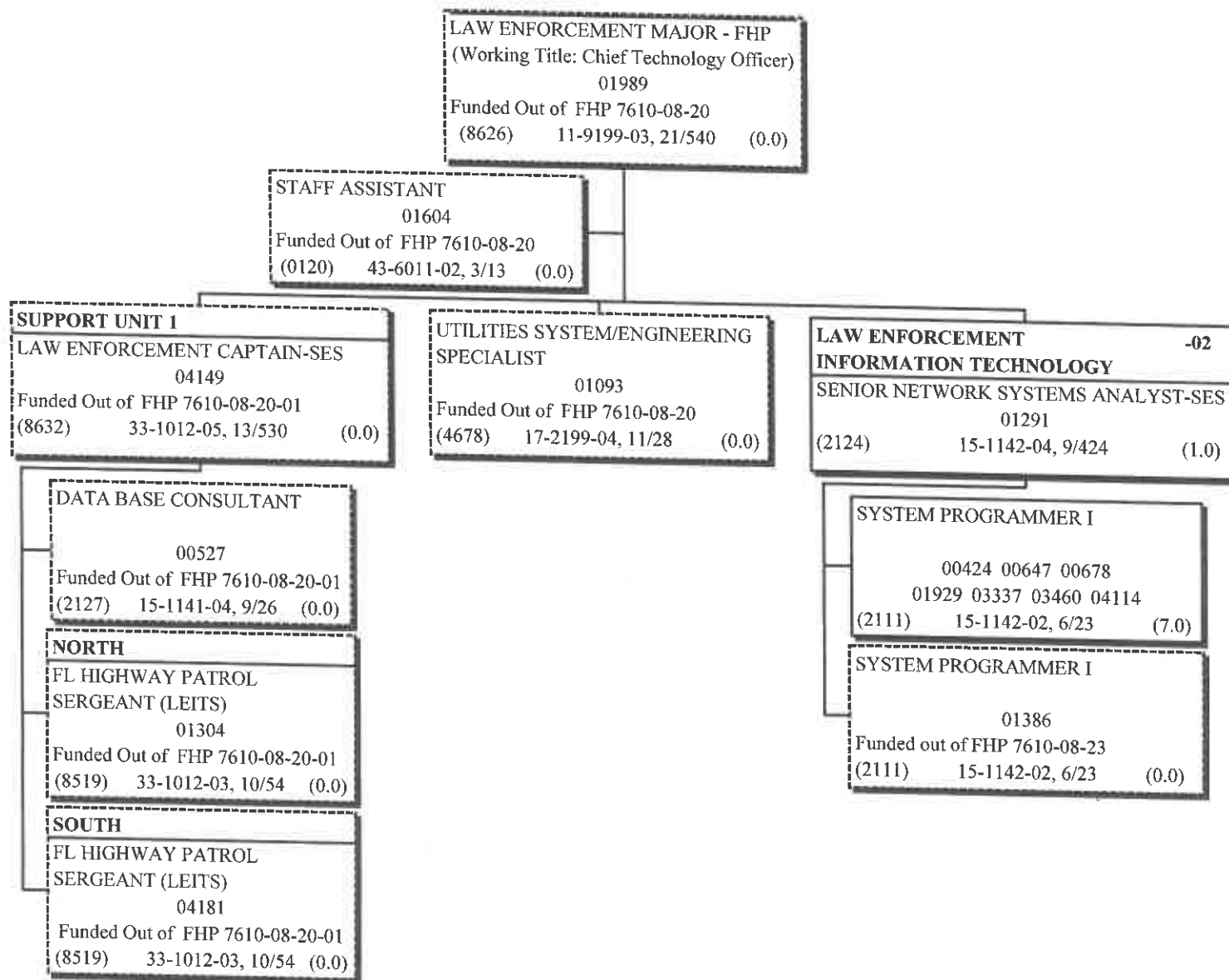
**DEPARTMENT OF HIGHWAY SAFETY  
AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION  
OFFICE OF MOTORIST MODERNIZATION**

DATE: 07/01/2016  
 SEQUENCE: 7640-01-03  
 OED: GTO  
 NUMBER OF POSITIONS: 9  
 NUMBER OF FTES: 9.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
 INFORMATION SYSTEMS ADMINISTRATION  
 FHP TECHNOLOGY/COMMUNICATIONS**

DATE: 04/01/2016  
 SEQUENCE: 7640-01-05  
 OED: APM  
 NUMBER OF POSITIONS: 8  
 NUMBER OF FTE'S: 8.0



**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
INFORMATION SYSTEMS ADMINISTRATION  
POSITIONS ON LOAN**

DATE: 12/23/2014  
SEQUENCE: 7640-01-05  
OED: WPM  
NUMBER OF POSITIONS: 1.0  
NUMBER OF FTE'S: 1.0

**ISA Positions on Loan  
7640-01-05**

<b>ENTERPRISE SECURITY MANAGEMENT -02</b>		
DATA PROCESSING MANAGER-SES		
Working Title: Information Security Officer		
	00115	
(2133)	11-3021-02, 20	(1.0)

HIGHWAY SAFETY AND MOTOR VEHICLES, DEPARTMENT OF		FISCAL YEAR 2015-16			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		442,288,068		5,372,125	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		10,863,939		-1,095,289	
FINAL BUDGET FOR AGENCY		453,152,007		4,276,836	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>					4,276,836
Enforcement Of Traffic Laws * <b>Law enforcement duty hours spent on active patrol, crash investigations and public safety.</b>		1,680,491	125.66	211,174,568	
Provide Aerial Traffic Enforcement * <b>Number of duty hours spent on aerial traffic enforcement.</b>		5,100	230.10	1,173,528	
Conduct Traffic Homicide Investigations * <b>Number of hours spent on traffic homicide investigations.</b>		111,185	111.90	12,441,604	
Provide Academy Training * <b>Number of students successfully completing training courses.</b>		1,142	7,820.98	8,931,554	
Conduct Criminal And Administrative Investigations * <b>Number of hours spent on investigations.</b>		372,594	25.32	9,432,599	
Number Of Commercial Motor Vehicle Inspections Performed * <b>Number of commercial motor vehicle inspections.</b>		109,788	338.92	37,209,118	
Issuance Of Automobile Dealer Licenses * <b>Number of motor vehicle, mobile home and recreational vehicle (RV) dealers licensed.</b>		13,896	366.39	5,091,410	
Enforce Title And Registration Laws * <b>Number of rebuilt salvaged motor vehicles inspected for vehicle identification numbers and odometer readings.</b>		37,342	181.44	6,775,171	
Issue Driver License And Identification Cards * <b>Number of driver license and identification card transactions including voids.</b>		4,510,660	12.60	56,815,884	
Maintain Records * <b>Number of records maintained.</b>		24,734,497	0.35	8,732,854	
Provide Program Customer Service * <b>Response to number of telephone, email, faxes, and written inquiries.</b>		1,628,298	7.50	12,219,297	
Administer Motorist Insurance Laws * <b>Number of insured motorists.</b>		12,733,826	0.12	1,474,665	
Oversee Driver Improvement Activities * <b>Number of problem drivers identified.</b>		1,855,663	2.33	4,323,269	
Conduct Administrative Reviews * <b>Number of administrative reviews and hardship and miscellaneous hearings completed.</b>		36,739	227.21	8,347,315	
Conduct Driver, Driving Under The Influence And Motorcycle Education Activities * <b>Number of graduates.</b>		615,498	2.95	1,813,172	
Monitor Mobile Home Inspections * <b>Number of mobile homes inspected.</b>		7,622	207.04	1,578,039	
Register And Audit Commercial Carriers * <b>Number of International Registration Plan (IRP) registration transactions; International Fuel Tax Agreement (IFTA) decals issued and quarterly tax returns processed; and IRP registrants and IFTA licensees audited</b>		170,748	23.95	4,090,002	
Issuance Of Vehicle And Mobile Home Titles And Registrations * <b>Number of motor vehicle and mobile home titles and registrations issued.</b>		27,609,495	0.67	18,463,891	
Issuance Of Vessel Title And Registrations * <b>Number of vessel titles and registrations issued.</b>		1,035,038	0.35	367,325	
TOTAL				410,455,265	4,276,836
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				10,431,328	
REVERSIONS				32,265,473	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				453,152,066	4,276,836

## 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**

The Department has no activities proposed for outsourcing during the 2017-18 Fiscal Year.

<b>Schedule XII Cover Sheet and Agency Project Approval</b>	
<b>Agency:</b> Highway Safety and Motor Vehicles	<b>Schedule XII Submission Date:</b>
<b>Project Name:</b> N/A	<b>Is this project included in the Agency's LRPP?</b> _____ Yes _____ No
<b>FY 2017 - 2018 LBR Issue Code:</b>	<b>FY 2017 -2018 LBR Issue Title:</b>
<b>Agency Contact for Schedule XII (Name, Phone #, and E-mail address):</b>	
<b>AGENCY APPROVAL SIGNATURES</b>	
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.	
<b>Agency Head:</b>	<b>Date:</b>
<b>Printed Name:</b>	
<b>Agency Chief Information Officer:</b> <i>(If applicable)</i>	<b>Date:</b>
<b>Printed Name:</b>	
<b>Budget Officer:</b>	<b>Date:</b>
<b>Printed Name:</b>	
<b>Planning Officer:</b>	<b>Date:</b>
<b>Printed Name:</b>	
<b>Project Sponsor:</b>	<b>Date:</b>
<b>Printed Name:</b>	

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

<b>Contact Information</b>
Agency: Department of Highway Safety and Motor Vehicles
Name: Susan Carey, Chief Financial Officer
Phone: (850) 617-3404
E-mail address: SusanCarey@flhsmv.gov

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/](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.

<b>1. Commodities proposed for purchase.</b>
Agency equipment needs located in offices statewide.
<b>2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.</b>
The purchase of equipment is expected to be from a state or agency term contract in accordance with appropriate purchasing statutes and rules.
<b>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).</b>
Historically, financing equipment is the most economical means of purchasing items when the department does not have funds to cover the purchase in one lump sum.
<b>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.</b>
The department proposes to utilize base appropriation in the event that increased authority is required.



**Schedule XIV  
Variance from Long Range Financial Outlook**

**Agency: Highway Safety and Motor Vehicles**

**Contact: \_Susan Carey, Chief Financial Officer\_**

Article III, Section 19(a)3, Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2016 contain revenue or expenditure estimates related to your agency?  
Yes  No
- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2017-2018 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2017-2018 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Motorist Modernization Phase I (Year 4)	B	\$9.9 million	\$9.9 million
b	Motorist Modernization Phase II	B	\$4.1 million	\$4.1 million
c	Enterprise Data Infrastructure	B	\$3.5 million	\$3.5 million
d	Replacement of In-Car Digital Video Cameras Florida Highway Patrol	B	\$3.6 million	\$3.6 million
e	Computer Aided Dispatch Infrastructure Replace Florida Highway Patrol	B	\$.4 million	\$.4 million
f	Emergency Aid Trauma Kits Florida Highway Patrol	B	\$.4 million	\$.4 million
g	Queueing System Driver License Offices Motorist Services	B	\$.4 million	\$.4 million
h	Refurbish and Expand Florida Highway Patrol Training Facility (FCO)	B	\$12 million	\$12 million
i	Purchase of Florida Licensing on Wheels (FLOW) Mobiles (2) MS	B	\$.3 million	\$.3 million
j	Statewide Building Access Control System Florida Highway Patrol	B	\$.7 million	\$.7 million
k	Increased Costs of Microsoft Enterprise Agreement	B	\$.7 million	\$.7 million
l	Maintenance Repair and Construction Statewide	B	\$.6 million	\$.6 million
m	Maintenance Repair Special Projects Neil Kirkman Campus	B	\$2.4 million	\$2.4 million
n	Highway Safety Fees	R	\$444.0 million	\$444.0 million

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

The Department of Highway Safety and Motor Vehicles (DHSMV) plans a continuation budget for Fiscal Year 2017-18 with the exception of the following: (a), (b) Funding is requested for the Motorist Modernization project (Phase I and II) where the agency will continue work to modernize its antiquated software and hardware to better serve the people of Florida, (c) Funding to refresh the Enterprise Data Infrastructure which has reached capacity is nearing end-of-life; (d) Funding is requested to purchase and install 2,142 in-car cameras in FHP vehicles; (e) Funding is requested to replace Computer Aided Dispatch Infrastructure; (f) Funding is requested to provide Emergency Aid Trauma Kits to FHP Troopers; (g) Funding is requested to replace the outdated Queueing System in Driver License Offices; (h) Funding is requested to Refurbish and Expand the FHP Training Facility; (i) Funding is requested to purchase 2 FLOW mobiles for Motorist Services; (j) Funding is requested to purchase a Statewide Building Access Control System for FHP; (k) Funding is requested for increased costs of the Department Microsoft Enterprise Agreement; (l) Funding is requested for statewide facility maintenance and repair; (m) Funding is requested for Neil Kirkman Campus facility maintenance and repair.

\* R/B = Revenue or Budget Driver

**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**

<b>Contact Information</b>
<b>Agency:</b> Department of Highway Safety and Motor Vehicles
<b>Name:</b> Lisa M. Bassett, Chief of Purchasing and Contracts
<b>Phone:</b> (850) 617-3203
<b>E-mail address:</b> LisaBassett@flhsmv.gov

<b>1. Vendor Name</b>		
The Department currently has no contracts that require reporting pursuant to §216.023(6), F.S.		
<b>2. Brief description of services provided by the vendor.</b>		
<b>3. Contract terms and years remaining.</b>		
<b>4. Amount of revenue generated</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)
<b>5. Amount of revenue remitted</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)
<b>6. Value of capital improvement</b>		
<b>7. Remaining amount of capital improvement</b>		
<b>8. Amount of state appropriations</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)



**DEPARTMENT OF HIGHWAY  
SAFETY AND MOTOR VEHICLES**

**Florida Highway Patrol Program Exhibits and Schedules**

# **Florida Highway Patrol Program**

## **Schedule I Series**

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Highway Safety and Motor Vehicles **Budget Period: 2017-2018**  
**Program:** Florida Highway Patrol (76100100)  
**Fund:** Highway Safety Operating TF (2009)

**Specific Authority:** Chapters 338 and 339, F.S.  
**Purpose of Fees Collected:** To generate revenue for law enforcement services provided on the Florida Turnpike.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>	<b>FY 2017-2018</b>
<u>Receipts:</u>			
<u>Florida Department of Transportation</u>	18,637,463	20,416,816	20,416,816
<u>Vehicle Auction Sales</u>	35,911	66,000	66,000
<b>Total Fee Collection to Line (A) - Section III</b>	18,673,374	20,482,816	20,482,816

**SECTION II - FULL COSTS**

Direct Costs:

<u>Salaries and Benefits</u>	14,009,541	14,114,797	15,180,250
<u>OPS</u>	15,328	15,300	15,300
<u>Expenses</u>	574,308	681,616	664,904
<u>OCO</u>	4,880	130,780	5,000
<u>Acquisition of Motor Vehicles</u>	789,218	1,320,650	1,320,650
<u>Communications</u>	374,104	374,378	374,378
<u>Contracted Services</u>	13,184	30,000	30,000
<u>Operation of Motor Vehicles</u>	1,562,655	1,711,027	1,735,240
<u>Overtime</u>	236,652	205,000	205,000
<u>Risk Management</u>	672,728	625,473	625,473
<u>Salary Incentive</u>	85,460	97,380	97,380
<u>Deferred Commodity Contracts</u>	220,315	220,315	220,315
<u>Lease Purchase Equipment</u>	12,248	12,300	12,500
<u>Mobile Data Terminals</u>	86,701	82,291	82,291
<u>Human Resource Services</u>	75,120	73,165	73,165
<b>Total Full Costs to Line (B) - Section III</b>	18,732,442	19,694,472	20,641,846

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	18,673,374	20,482,816	20,482,816
TOTAL SECTION II	(B)	18,732,442	19,694,472	20,641,846
<b>TOTAL - Surplus/Deficit</b>	(C)	(59,068)	788,344	(159,030)

**EXPLANATION of LINE C:**

Salary and benefit costs in FY 2017-18 assume Troop K is fully staffed. Costs in the Expenses category increased significantly due to the additional \$800 annual perquisite appropriated to all FHP law enforcement personnel in FY 2016-17. Vehicle purchases increased from (25) in FY 2015-16 to (44) in FY 2016-17. The spike in OCO costs in FY 2016-17 is for the purchase of Total Robotic Stations used for mapping crash scenes. Deficit balances are absorbed through the Patrol's enforcement operational costs.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Highway Safety and Motor Vehicles **Budget Period: 2017-2018**  
**Program:** Florida Highway Patrol (76100100)  
**Fund:** Highway Safety Operating TF (2009)  
**Specific Authority:** Chapters 338 and 339, F.S.  
**Purpose of Fees Collected:** To generate revenue for law enforcement services provided on the Alligator Alley.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>	<b>FY 2017-2018</b>
<u>Receipts:</u>			
<u>Florida Department of Transportation</u>	1,191,708	1,390,841	1,390,841
<u>Vehicle Auction Sales</u>		7,500	7,500
<b>Total Fee Collection to Line (A) - Section III</b>	1,191,708	1,398,341	1,398,341

**SECTION II - FULL COSTS**

Direct Costs:

<u>Salaries and Benefits</u>	824,561	853,236	915,700
<u>Expenses</u>	10,816	24,962	25,518
<u>Acquisition of Motor Vehicles</u>	-	144,710	148,294
<u>Communications</u>	26,982	27,152	27,152
<u>Operation of Motor Vehicles</u>	143,990	161,052	187,602
<u>Overtime</u>	43,834	28,245	36,000
<u>Risk Management</u>	42,424	39,444	39,444
<u>Salary Incentive</u>	3,848	3,396	3,962
<u>Deferred Commodity Contracts</u>	16,672	16,672	16,672
<u>Mobile Data Terminals</u>	6,426	6,214	6,214
<u>Human Resource Services</u>	4,737	4,614	4,614
<b>Total Full Costs to Line (B) - Section III</b>	1,124,290	1,309,697	1,411,172

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	1,191,708	1,398,341	1,398,341
TOTAL SECTION II	(B)	1,124,290	1,309,697	1,411,172
<b>TOTAL - Surplus/Deficit</b>	(C)	67,418	88,644	(12,831)

**EXPLANATION of LINE C:**

Salary and benefit costs in FY 2017-18 assume the patrol unit is fully staffed. Costs in the Expenses category increased due to the additional \$800 annual perquisite appropriated to law enforcement personnel in FY 2016-17. Five vehicles are scheduled to be purchased in FY 2016-17, and FY 2017-18. Deficit balances are absorbed through the Patrol's enforcement operational costs.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Highway Safety and Motor Vehicles **Budget Period:** **2017-2018**  
**Program:** Florida Highway Patrol (76100100)  
**Fund:** Highway Safety Operating TF (2009)

**Specific Authority:** Chapters 338 and 339, F.S.  
**Purpose of Fees Collected:** To generate revenue for law enforcement services provided on the Interstate 4 Corridor.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>	<b>FY 2017-2018</b>
<u>Receipts:</u>			
<u>Florida Department of Transportation</u>	1,487,587	1,500,000	1,500,000
<u>Vehicle Auction Sales</u>			
<b>Total Fee Collection to Line (A) - Section III</b>	1,487,587	1,500,000	1,500,000

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	1,137,625	1,141,962	1,226,786
<u>Expenses</u>	16,989	27,230	29,790
<u>Acquisition of Motor Vehicles</u>	-	-	
<u>Communications</u>	32,764	32,971	32,971
<u>Contracted Services</u>	211	-	
<u>Operation of Motor Vehicles</u>	172,729	67,735	67,735
<u>Overtime</u>	34,701	-	-
<u>Salary Incentive</u>	10,853	13,260	13,260
<u>Deferred Commodity Contracts</u>	20,245	20,245	20,245
<u>Mobile Data Terminals</u>	7,911	7,654	7,654
<u>Indirect Costs</u>	53,559	104,255	104,255
<b>Total Full Costs to Line (B) - Section III</b>	1,487,587	1,415,312	1,502,696

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	1,487,587	1,500,000	1,500,000
TOTAL SECTION II	(B)	1,487,587	1,415,312	1,502,696
<b>TOTAL - Surplus/Deficit</b>	(C)	-	84,688	(2,696)

**EXPLANATION of LINE C:**

Salary and benefit costs in FY 2017-18 assume the patrol unit is fully staffed. Costs in the Expenses category increased due to the \$800 annual perquisite appropriated to law enforcement personnel in FY 2016-17. Beginning in FY 2016-17 only fuel costs are charged to the OMV category. Deficit balances are absorbed through the Patrol's enforcement operational costs.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Highway Safety and Motor Vehicles **Budget Period: 2017-2018**  
**Program:** Florida Highway Patrol (76100100)  
**Fund:** Highway Safety Operating TF (2009)

**Specific Authority:** Chapters 338 and 339, F.S.  
**Purpose of Fees Collected:** To generate revenue for law enforcement services provided on the Central Florida Expressway.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>	<b>FY 2017-2018</b>
<u>Receipts:</u>			
<u>Florida Department of Transportation</u>	811,964	924,435	989,416
<u>Vehicle Auction Sales</u>	3,845	3,000	7,500
<b>Total Fee Collection to Line (A) - Section III</b>	815,809	927,435	996,916

**SECTION II - FULL COSTS**

Direct Costs:

<u>Salaries and Benefits</u>	585,382	600,905	600,905
<u>Expenses</u>	13,185	14,481	14,481
<u>Acquisition of Motor Vehicles</u>	25,925	57,364	148,294
<u>Communications</u>	15,419	15,516	15,516
<u>Operation of Motor Vehicles</u>	73,404	80,094	80,094
<u>Overtime</u>	57,627	58,363	58,500
<u>Risk Management</u>	-	-	-
<u>Salary Incentive</u>	2,974	6,564	6,564
<u>Deferred Commodity Contracts</u>	9,527	9,527	9,527
<u>Mobile Data Terminals</u>	3,650	3,529	3,529
<u>Indirect Costs</u>	56,373	59,506	59,506
<b>Total Full Costs to Line (B) - Section III</b>	843,466	905,849	996,916

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	815,809	927,435	996,916
TOTAL SECTION II	(B)	843,466	905,849	996,916
<b>TOTAL - Surplus/Deficit</b>	(C)	(27,657)	21,586	-

**EXPLANATION of LINE C:**

Salary and benefit costs in FY 2017-18 assume the patrol unit is fully staffed. Costs in the Expenses category increased due to the \$800 annual perquisite appropriated to law enforcement personnel in FY 2016-17. Two vehicles are scheduled to be purchased in FY 2016-17 and five in FY 2017-18. Deficit balances are absorbed into the Patrol's enforcement operational costs.





**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Highway Safety and Motor Vehicles **Budget Period:** 2017-2018  
**Program:** Florida Highway Patrol (76100100)  
**Fund:** Law Enforcement TF (2434)  
**Specific Authority:** Chapters 338 and 339, F.S.  
**Purpose of Fees Collected:** To generate revenue for law enforcement services.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>	<b>FY 2017-2018</b>
<u>Receipts:</u>			
<u>Forfeiture Receipts</u>	1,079,907		
<u>Sale of Surplus Property</u>	95,496		
<u>Reimbursements</u>	1,623		
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,177,026</b>	<b>-</b>	<b>-</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	-	-	
<u>Other Personal Services</u>	-	-	
<u>Expenses</u>	65,376	65,475	65,475
<u>Contracted Services</u>	539,610	536,383	50,000
<u>Transfer to DAS</u>	126,118	160,170	160,170
<u>Transfer to ISA</u>	3,752	3,752	3,752
<b>Total Full Costs to Line (B) - Section III</b>	<b>734,856</b>	<b>765,780</b>	<b>279,397</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	1,177,026	-	-
TOTAL SECTION II	(B)	734,856	765,780	279,397
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>442,170</b>	<b>(765,780)</b>	<b>(279,397)</b>

**EXPLANATION of LINE C:**

The decrease in contracted services costs in FY 2017-18 is from an agency request to reduce the budget associated with the annual maintenance costs of digital cameras and servers. This cost will be absorbed in a new managed service contract.  
Deficit balances will be corrected through the liquidation of invested funds from the Treasury account.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Highway Safety and Motor Vehicles **Budget Period: 2017-2018**  
**Program:** Florida Highway Patrol (76100100)  
**Fund:** Federal Law Enforcement TF (2719)  
**Specific Authority:** Chapters 338 and 339, F.S.  
**Purpose of Fees Collected:** To generate revenue for law enforcement services.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>	<b>FY 2017-2018</b>
<u>Receipts:</u>			
<u>Forfeiture Receipts</u>	323,680		
<u>Refunds</u>	19		
<b>Total Fee Collection to Line (A) - Section III</b>	<b>323,699</b>	<b>-</b>	<b>-</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
<u>Expenses</u>	185,714	185,923	185,923
<u>Operating Capital Outlay</u>	252,528	252,572	252,572
<u>Communications</u>	52,000	52,000	52,000
<b>Total Full Costs to Line (B) - Section III</b>	<b>490,242</b>	<b>490,495</b>	<b>490,495</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	323,699	-	-
TOTAL SECTION II	(B)	490,242	490,495	490,495
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>(166,543)</b>	<b>(490,495)</b>	<b>(490,495)</b>

**EXPLANATION of LINE C:**

Deficit balances are corrected through the liquidation of invested funds at the Treasury.

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Highway Patrol Insurance Trust Fund
<b>Budget Entity:</b>	7600
<b>LAS/PBS Fund Number:</b>	2364

	Balance as of 6/30/____		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	325,995.67	(A)		325,995.67
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable		(D)		-
ADD: _____		(E)		-
<b>Total Cash plus Accounts Receivable</b>	<b>325,995.67</b>	(F)	-	<b>325,995.67</b>
LESS: Allowances for Uncollectible		(G)		-
LESS: Approved "A" Certified Forwards		(H)		-
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS: Unearned Revenue		(J)		-
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>325,995.67</b>	(K)	-	<b>325,995.67</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Law Enforcement Trust Fund
<b>Budget Entity:</b>	<b>7600</b>
<b>LAS/PBS Fund Number:</b>	2434

	Balance as of 6/30/2016		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	281,670.28	(A)		281,670.28
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments	1,754,690.88	(C)		1,754,690.88
ADD: Outstanding Accounts Receivable	295,866.44	(D)		295,866.44
ADD: _____		(E)		-
<b>Total Cash plus Accounts Receivable</b>	<b>2,332,227.60</b>	(F)	-	<b>2,332,227.60</b>
LESS: Allowances for Uncollectible		(G)		-
LESS: Approved "A" Certified Forwards	1,270.34	(H)		1,270.34
Approved "B" Certified Forwards	7,278.66	(H)		7,278.66
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	9,763.38	(I)		9,763.38
LESS: Unearned Revenue	232,260.76	(J)		232,260.76
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>2,081,654.46</b>	(K)	-	<b>2,081,654.46</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Federal Law Enforcement Trust Fund
<b>Budget Entity:</b>	<b>7600</b>
<b>LAS/PBS Fund Number:</b>	2719

	Balance as of 6/30/2016	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	299,589.99 (A)		299,589.99
ADD: Other Cash (See Instructions)			-
ADD: Investments	915,995.96 (C)		915,995.96
ADD: Outstanding Accounts Receivable	179,684.52 (D)		179,684.52
ADD: _____			-
<b>Total Cash plus Accounts Receivable</b>	<b>1,395,270.47 (F)</b>	-	<b>1,395,270.47</b>
LESS: Allowances for Uncollectible			-
LESS: Approved "A" Certified Forwards			-
Approved "B" Certified Forwards	159.00 (H)		159.00
Approved "FCO" Certified Forwards			-
LESS: Other Accounts Payable (Nonoperating)	(19.28) (I)		(19.28)
LESS: Unearned Revenue			-
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>1,395,130.75 (K)</b>	-	<b>1,395,130.75 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2017 - 2018**

**Department Title:** Department of Highway Safety and Motor Vehicles  
**Trust Fund Title:** Highway Patrol Insurance Trust Fund  
**LAS/PBS Fund Number:** 2364

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/2016</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	<b>(325,995.67)</b> (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	<input type="text"/> (B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>	
SWFS Adjustment # and Description	<input type="text"/> (C)
SWFS Adjustment # and Description	<input type="text"/> (C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text"/> (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS	<input type="text"/> (D)
A/P not C/F-Operating Categories	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>(325,995.67)</b> (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>325,995.67</b> (F)
<b>DIFFERENCE:</b>	<b>0.00</b> (G)*

**\*SHOULD EQUAL ZERO.**

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2017 - 2018**

**Department Title:** Highway Safety and Motor Vehicles  
**Trust Fund Title:** State Law Enforcement Trust Fund  
**LAS/PBS Fund Number:** 2434

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/2016</b>	
Total all GLC's 5XXXX for governmental funds;	<b>(2,088,792.05)</b> (A)
GLC 539XX for proprietary and fiduciary funds	
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	<input type="text"/> (B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>	
SWFS Adjustment # and Description	<input type="text"/> (C)
SWFS Adjustment # and Description	<input type="text"/> (C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text"/> 7,278.66 (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS	<input type="text"/> (D)
A/P not C/F-Operating Categories	<input type="text"/> (141.07) (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>(2,081,654.46)</b> (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>2,081,654.46</b> (F)
<b>DIFFERENCE:</b>	<b>0.00</b> (G)*

**\*SHOULD EQUAL ZERO.**



## RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Federal Law Enforcement Trust Fund
<b>LAS/PBS Fund Number:</b>	2719

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/2016</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	(1,395,152.53) (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	(B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	159.00 (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS	(D)
A/P not C/F-Operating Categories	(137.22) (D)
	(D)
	(D)
	(D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	(1,395,130.75) (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	1,395,130.75 (F)
<b>DIFFERENCE:</b>	0.00 (G)*

**\*SHOULD EQUAL ZERO.**



**DEPARTMENT OF HIGHWAY  
SAFETY AND MOTOR VEHICLES**

**Motorist Services Program Exhibits and Schedules**

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles **Budget Period: 2017-18**  
**Program:** 76210100 Motorist Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapter 488, Florida Statutes  
**Purpose of Fees Collected:** Funding for the Commercial Driving Schools Program

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

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

**SECTION I - FEE COLLECTION**

**ACTUAL                      ESTIMATED                      REQUEST**  
**FY 2015-16                      FY 2016-17                      FY 2017-18**

Receipts:

_____			
_____			
_____			
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	-	-	-

**SECTION II - FULL COSTS**

Direct Costs:

Salaries and Benefits	184,892	188,867	192,928
Other Personal Services	1,711	1,711	1,711
Expenses	10,928	10,928	10,928
Operating Capital Outlay	744	744	744
Contracted Services	930	930	930
Risk Management	3,798	3,798	3,798
Lease Purchase Equipment	816	816	816
Human Resource Services	1,379	1,379	1,379
<b>Total Full Costs to Line (B) - Section III</b>	205,198	209,174	213,234

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	205,198	209,174	213,234
<b>TOTAL - Surplus/Deficit</b>	(C)	(205,198)	(209,174)	(213,234)

**EXPLANATION of LINE C:**

The Department is authorized per Chapter 488, F.S. to license and oversee the operations of all commercial driving schools except truck driving schools. All receipts from applications from the issuance of licenses and certificates for the Commercial Driving School Program are deposited into the General Revenue fund.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles                      **Budget Period: 2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapter 322.56, Florida Statutes  
**Purpose of Fees Collected:** Funding for the Third Party Driver License Testing Program

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

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

**SECTION I - FEE COLLECTION**    **ACTUAL**                      **ESTIMATED**                      **REQUEST**

	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
_____			
_____			
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	-	-	-

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
Salaries and Benefits	994,066	1,015,438	1,037,270
Other Personal Services	6,489	6,489	6,489
Expenses	71,804	71,804	71,804
Operating Capital Outlay	849	849	849
Contracted Services	1,303	1,303	1,303
Risk Management	19,305	19,305	19,305
Lease Purchase Equipment	820	820	820
Background Checks	934,540	934,540	934,540
Human Resource Services	7,008	7,008	7,008
<b>Total Full Costs to Line (B) - Section III</b>	<b>2,036,184</b>	<b>2,057,556</b>	<b>2,079,388</b>

Basis Used: \_\_\_\_\_  
 \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	2,036,184	2,057,556	2,079,388
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(2,036,184)</b>	<b>(2,057,556)</b>	<b>(2,079,388)</b>

**EXPLANATION of LINE C:**

Pursuant to Chapter 322.56, F.S., the Department may contract with Third Party Providers to administer the written and driving portion of a driving exam for all classes & types of driver licenses. The results of such exams may be accepted in lieu of the results of an exam given by the Department. The Department is required to monitor the operations of these providers to ensure compliance with State or Federal standards. This program is funded from the general operations of the Department.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles **Budget Period: 2017-18**  
**Program:** 76210100 Motorist Services  
**Fund:** 2009 Highway Safety Operating TF  
**Specific Authority:** Chapter 488, Florida Statutes  
**Purpose of Fees Collected:** Funding for the Commercial Driving Schools Program

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
_____	<input type="text"/>	<input type="text"/>	<input type="text"/>
_____	<input type="text"/>	<input type="text"/>	<input type="text"/>
_____	<input type="text"/>	<input type="text"/>	<input type="text"/>
_____	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>-</b>	<b>-</b>

**SECTION II - FULL COSTS**

Direct Costs:

Salaries and Benefits	184,892	188,867	192,928
Other Personal Services	1,711	1,711	1,711
Expenses	10,928	10,928	10,928
Operating Capital Outlay	744	744	744
Contracted Services	930	930	930
Risk Management	3,798	3,798	3,798
Lease Purchase Equipment	816	816	816
Human Resource Services	1,379	1,379	1,379
<b>Total Full Costs to Line (B) - Section III</b>	<b>205,198</b>	<b>209,174</b>	<b>213,234</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	<input type="text"/>	<input type="text"/>	<input type="text"/>
TOTAL SECTION II	(B)	205,198	209,174	213,234
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(205,198)</b>	<b>(209,174)</b>	<b>(213,234)</b>

**EXPLANATION of LINE C:**

The Department is authorized per Chapter 488, F.S. to license and oversee the operations of all commercial driving schools except truck driving schools. All receipts from applications from the issuance of licenses and certificates for the Commercial Driving School Program are deposited into the General Revenue fund. The program is funded from the general operations of the Department.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period:** 2017-18  
**Program:** 76210100 Motorists Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapter 318.1451 and 322.095, Florida Statutes  
**Purpose of Fees Collected:** Funding for the Driver Improvement Schools Program

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
<u>Driver Education Fees</u>	1,733,554	1,628,484	1,640,791
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,733,554</b>	<b>1,628,484</b>	<b>1,640,791</b>

**SECTION II - FULL COSTS**

Direct Costs:

Salaries and Benefits	128,851	131,621	134,451
Other Personal Services	2,099	2,099	2,099
Expenses	16,122	16,122	16,122
Operating Capital Outlay	696	696	696
Contracted Services	709	709	709
Risk Management	2,498	2,498	2,498
Lease Purchase Equipment	672	672	672
Background Checks	25	25	25
Human Resource Services	907	907	907
<b>Total Full Costs to Line (B) - Section III</b>	<b>152,579</b>	<b>155,349</b>	<b>158,179</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

<b>TOTAL SECTION I</b>	(A)	1,733,554	1,628,484	1,640,791
<b>TOTAL SECTION II</b>	(B)	152,579	155,349	158,179
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>1,580,975</b>	<b>1,473,135</b>	<b>1,482,612</b>

**EXPLANATION of LINE C:**

Chapters 318.1451 and 322.095, Florida Statutes authorize the department to approve curriculum, test course effectiveness and collect fees for driver improvement courses. This includes courses that use technology as a delivery method.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period:** **2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2009 Highway Safety Operating TF  
**Specific Authority:** Chapters 322.292 and 322.293, F.S  
**Purpose of Fees Collected:** DUI Schools Coordination Program

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

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

<u>SECTION I - FEE COLLECTION</u>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
<u>Driver License DUI Fees</u>	689,658	646,415	656,274
_____			
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>689,658</b>	<b>646,415</b>	<b>656,274</b>

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	234,556	239,599	244,750
Other Personal Services	6,147	6,147	6,147
Expenses	13,655	13,655	13,655
Contracted Services	24	24	24
Risk Management	4,943	4,943	4,943
Lease Purchase Equipment	699	699	699
Human Resource Services	1,795	1,795	1,795
<b>Total Full Costs to Line (B) - Section III</b>	<b>261,818</b>	<b>266,861</b>	<b>272,012</b>

Basis Used: \_\_\_\_\_

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	689,658	656,274
TOTAL SECTION II	(B)	261,818	272,012
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>427,840</b>	<b>384,262</b>

**EXPLANATION of LINE C:**  
Chapter 322.292, F.S. authorizes the Department to license and regulate all DUI Programs. Chapter 322.293(2), F.S. provides for a \$15 fee assessed on each person who enrolls in a DUI program. This fee is deposited into the Highway Safety Operating Trust Fund and used to fund this program and the general operations of the Department.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period: 2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapter 322.2715(5), Florida Statutes  
**Purpose of Fees Collected:** To provide funding for the Ignition Interlock Device Program

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

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

<u>SECTION I - FEE COLLECTION</u>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
Interlock Assessment Fees	212,952	270,471	274,596
_____			
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>212,952</b>	<b>270,471</b>	<b>274,596</b>

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	234,556	239,599	244,750
Other Personal Services	6,147	6,147	6,147
Expenses	13,655	13,655	13,655
Contracted Services	24	24	24
Risk Management	4,943	4,943	4,943
Lease Purchase Equipment	699	699	699
Human Resource Services	1,795	1,795	1,795
<b>Total Full Costs to Line (B) - Section III</b>	<b>261,818</b>	<b>266,861</b>	<b>272,012</b>

Basis Used: \_\_\_\_\_

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	212,952	270,471	274,596
TOTAL SECTION II	(B)	261,818	266,861	272,012
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(48,866)</b>	<b>3,610</b>	<b>2,584</b>

**EXPLANATION of LINE C:**  
Chapter 322.2715(5), F.S. authorizes the Department to collect a \$12 fee for each ignition interlock device installed. The fee is deposited into the Highway Safety Operating Trust Fund for the operation of this program.  
The remaining deficit is funded from the general operations of the Department.



**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period: 2017-18**  
**Program:** 76210100 Motorist Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapter 320.27, Florida Statutes  
**Purpose of Fees Collected:** Funding of the Dealer Licensing Program

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>

<u>Receipts:</u>			
Dealer License Service Fees	9,714	10,000	10,000
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
<b>Total Fee Collection to Line (A) - Section III</b>	<b>9,714</b>	<b>10,000</b>	<b>10,000</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
Salaries and Benefits	3,212,244	3,281,307	3,351,855
Other Personal Services	40,827	40,827	40,827
Expenses	835,741	835,741	835,741
Operating Capital Outlay	2,996	2,996	2,996
Contracted Services	41,024	41,024	41,024
Risk Management	72,640	72,640	72,640
Lease Purchase Equipment	12,575	12,575	12,575
Human Resource Services	26,371	26,371	26,371
<b>Total Full Costs to Line (B) - Section III</b>	<b>4,244,418</b>	<b>4,313,481</b>	<b>4,384,029</b>

Basis Used: \_\_\_\_\_  
 \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	9,714	10,000	10,000
TOTAL SECTION II	(B)	4,244,418	4,313,481	4,384,029
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(4,234,704)</b>	<b>(4,303,481)</b>	<b>(4,374,029)</b>

**EXPLANATION of LINE C:**  
 \_\_\_\_\_  
 \_\_\_\_\_

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period:** **2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapters 320.8255 and 320.8249, Florida Statutes  
**Purpose of Fees Collected:** Funding for the Mobile Home Inspection and Installation Program

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
<u>Mobile Home Installer's Decals</u>	67,470	79,806	79,806
<u>Mobile Home Installer's Application Fees</u>	15,250	18,038	18,038
<u>Mobile Home Installer's Fees</u>	42,450	50,212	50,212
<u> </u>			
<u> </u>			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>125,170</b>	<b>148,056</b>	<b>148,056</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
Salaries and Benefits	1,110,517	1,134,393	1,158,782
Other Personal Services	6,261	6,261	6,261
Expenses	133,123	133,123	133,123
Operating Capital Outlay	8,432	8,432	8,432
Contracted Services	219	219	219
Risk Management	21,854	21,854	21,854
Lease Purchase Equipment	989	989	989
Human Resource Services	7,934	7,934	7,934
<b>Total Full Costs to Line (B) - Section III</b>	<b>1,289,329</b>	<b>1,313,205</b>	<b>1,337,595</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	125,170	148,056	148,056
TOTAL SECTION II	(B)	1,289,329	1,313,205	1,337,595
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(1,164,159)</b>	<b>(1,165,149)</b>	<b>(1,189,538)</b>

In FY 2015-16, \$302,168 was collected and deposited into the General Revenue Fund. This revenue is not reflected on the above schedule. The deficit is funded from the general operations of the Department.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period: 2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2009 Highway Safety Operating TF

**Specific Authority:** Chapter 328.76, Florida Statutes  
**Purpose of Fees Collected:** Fund the administration of the Vessel Title and Registration Program

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>

<u>Receipts:</u>			
Vessel Administrative Fees	700,000	700,000	700,000
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
<b>Total Fee Collection to Line (A) - Section III</b>	<b>700,000</b>	<b>700,000</b>	<b>700,000</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
Salaries and Benefits	109,627	111,984	114,392
Expenses	53,876	53,876	53,876
Contracted Services	3,608	3,608	3,608
Pay Outside Contractor	148,112	148,112	148,112
Purchase of License Plates	163,200	163,200	163,200
Indirect Costs Charged to Trust Fund	221,577	219,220	216,812
<b>Total Full Costs to Line (B) - Section III</b>	<b>700,000</b>	<b>700,000</b>	<b>700,000</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	700,000	700,000	700,000
TOTAL SECTION II	(B)	700,000	700,000	700,000
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>-</b>	<b>-</b>	<b>-</b>

**EXPLANATION of LINE C:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period: 2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2319 Gas Tax Collection Trust Fund

**Specific Authority:** Chapter 206.875 Florida Statutes  
**Purpose of Fees Collected:** To deposit and distribute monies from fuel taxes collected quarterly

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
IFTA taxes	17,896,283	19,090,000	19,400,000
<b>Total Fee Collection to Line (A) - Section III</b>	<b>17,896,283</b>	<b>19,090,000</b>	<b>19,400,000</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	2,600,955	2,656,875	2,713,998
Expenses	508,878	508,878	508,878
Operating Capital Outlay	4,844	4,844	4,844
Contracted Services	500,842	500,842	500,842
Risk Management	67,056	67,056	67,056
Lease/Purchase of Equipment	8,421	8,421	8,421
Transfer to Other Entities	16,203,169	16,990,000	17,290,000
<b>Total Full Costs to Line (B) - Section III</b>	<b>19,894,165</b>	<b>20,736,917</b>	<b>21,094,040</b>

Basis Used: \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	17,896,283	19,400,000
TOTAL SECTION II	(B)	19,894,165	21,094,040
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(1,997,882)</b>	<b>(1,694,040)</b>

**EXPLANATION of LINE C:**  
The estimated expenditures are based on the actual expenditures captured for the 2015-16 Fiscal Year. The projected revenues and transfers to other entities are per the January 2016 Revenue Estimating Conference.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 76 Highway Safety and Motor Vehicles      **Budget Period: 2017-18**  
**Program:** 76210100 Motorists Services  
**Fund:** 2463 Mobile Home and Recreational Vehicle Trust Fund  
**Specific Authority:** Chapter 320.781, Florida Statutes  
**Purpose of Fees Collected:** Satisfaction of judgements against mobile home and RV Dealers

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<u>Receipts:</u>			
<u>Mobile Home Dealer Licenses</u>	49,880	45,000	45,000
<u>Mobile Home Titles</u>	26,880	27,420	27,780
<u> </u>			
<u> </u>			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>76,760</b>	<b>72,420</b>	<b>72,780</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
<u>Claims</u>	-	422,141	66,958
<u>8% Surcharge</u>	6,040	5,794	5,822
<b>Total Full Costs to Line (B) - Section III</b>	<b>6,040</b>	<b>427,935</b>	<b>72,780</b>

Basis Used: \_\_\_\_\_  
 \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	76,760	72,420	72,780
TOTAL SECTION II	(B)	6,040	427,935	72,780
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>70,720</b>	<b>(355,515)</b>	<b>-</b>

**EXPLANATION of LINE C:**

This fund is used to administer claims against mobile home and recreational vehicle dealers. Estimated claims for fiscal year 2016-17 reflect use of fund balance as of July 1st.

## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Highway Safety and Motor Vehicles

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Commercial Driving Schools

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

*The Department has implemented several operational efficiencies to improve service delivery. These include:*

- *The application screening process has been improved. These improvements have resulted in a decreased number of days required for the review and return of deficient applications. When the applications are complete, the license is issued.*
- *Additional staff is being used to provide oversight through quality assurance audits on commercial driving schools.*
- *A complaint tracking process/report has been developed and implemented and is being used as a management tool.*
- *The Office of Legal Counsel has been incorporated into the complaint review process to further develop new and improve existing analytical tools for investigating both statutory violations and criminal activity.*
- *We will continue to capture additional data that will be used to refine the application process and will allow us to track the application from receipt to license issuance.*

*These operational efficiencies assist management in monitoring the program.*

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

*The Commercial Driving School (CDS) process is going to be included in the Florida Business Information Portal (Chapter 2015-224, Laws of Florida). This portal will assist entrepreneurs, in starting their business in Florida, by providing information regarding Florida requirements for licenses, permits and registrations.*

*To improve service delivery, the Department has implemented a secret shopper process. This process draws its secret shoppers from local state offices and from offices outside the local area. These shoppers conduct random and unannounced site visits on Commercial Driving Schools to observe how the schools conduct business in accordance*

*with Chapter 488, F.S., and Chapter 15A-11, F.A.C. These secret shoppers are also used during investigations.*

*This is considered an improvement to the Department's operational efficiencies.*

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

*Yes, it is an appropriate function for the Department to educate novice and risk prone drivers and violators about driving laws. It is appropriate that the Department effectively monitor and regulate the Commercial Driving Schools that conduct this training. Educating and training drivers is a corner stone of the Department's mission of making the roadways safer.*

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

*No, the fees are set by Chapter 488, Florida Statutes. Staff processes Commercial Driving School applications and monitors the Commercial Driving Schools to ensure compliance with Rule 15A-11. The revenues are forecast by the Highway Safety Fees Estimating Conference.*

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

*The fees are insufficient to cover the costs for the regulatory service. The existing fee structure was implemented by Chapter 84-15, Laws of Florida.*

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

*Yes, the fees charged for the regulatory service are reasonable to the businesses involved and they take into consideration the different type of professions. The fees are for the school application, school license, the instructor certificate and the vehicle certificate.*

*The fees are not on a sliding scale, they are set by statute, and a school license is \$200 for the original and \$100 for the renewal. For the instructor certificate the cost is \$25 for the original and \$10 for renewal. For the vehicle certificate the original cost is \$15 with a renewal cost of \$10. All of the fees provide a financial incentive to keep the license current. School owners, who do not renew their license prior to expiration, are not permitted to operate until they pay a \$50 non-refundable application fee and \$200 original license fee. In comparison, a renewal license fee is \$100 (Chapter 488, F.S.); the same would apply to the instructor and vehicle certificates. The Department does not charge any fees other than those listed by statute above.*

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

*The fees charged for this regulatory service are not adequate to cover the cost of administering the program; however, the service provides substantial benefits by providing valuable training that make our highways safer. Having trained professionals teach novice and risk-prone drivers crash prevention techniques and tips is critical to improving highway safety making the program a public asset. To ensure that these schools are actually providing the required training, the Department conducts quality assurance site visits at the schools.*

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

N/A



## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Highway Safety and Motor Vehicles

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Third Party Driver License Testing

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

### Class E Third Party

*The Department contracts with third party vendors to provide knowledge skills and driving skills exams utilizing an electronic method of recording and storing the actual driving test and results. The Department currently has 51 active Administrators providing this service statewide. In addition, the contracted vendor, Solutions Thru Software provides the Department detailed demographic reports that allow the Department to identify trends, misuse or non-compliance issues, and the need for additional educational resources.*

*The Department gained operational efficiencies through improved service delivery and access to real time report information. The addition of Russian, Chinese (September 2016) and Arabic (November 2016) translated exams will be released statewide in an effort to provide further language resources to customers and to reduce interpreter fraud.*

*The Department has now transitioned the Driver Education Licensing Assistance Program (DELAP) from the paper format to the online version of the exam. This improvement will allow for centralized reporting and real time data comparison on all Class E examinations.*

### Commercial Driver License (CDL) Third Party

*The Commercial Driver License (CDL) & Third Party Testing Unit increased efficiencies by implementing a standardized monitoring environment which ensures CDL Compliance Officers are effectively and uniformly monitoring contracted Third Party Administrators and Third Party Testers. CDL & Third Party Testing staff are required to participate in monthly conference calls to discuss policy directives, federal testing standards, and implement standardized monitoring practices which enrich and strengthen our program.*

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

*The Third Party Driver License Testing process is going to be included in the Florida Business Information Portal (Chapter 2015-224, Laws of Florida). This portal will assist*

*entrepreneurs, in starting their business in Florida, by providing information regarding Florida requirements for licenses, permits and registrations.*

*Class E Third Party*

*We will continue to monitor first time pass rates utilizing demographic information to assist in determining where to concentrate educational efforts. We are developing operation and procedure manuals that outline the process for use of this data and will be part of a risk based assessment for each Third Party Administrator. This process will assist in the review of Administrator's with substantially high pass rates in an effort to mitigate fraudulent testing activities. The Department is also researching ways to improve the driving skills testing portion of the driving exam by conducting field research on the use of the tablets in actual testing situations. Additionally, plans are in place to have Portuguese, Vietnamese and French languages translated into the testing process.*

*Commercial Driver License (CDL) Third Party*

*The Department has implemented a program oversight system known as the Commercial Skills Test Information Management System (CSTIMS). This system is an internet-based tool that provides the ability to track the scheduling and entry of test results for commercial driver license skills tests by the Department, other states, and Third Party Administrators and Testers. This system will assist the Bureau in documenting compliance with the applicable Federal standards. The CDL Third Party Testing Unit will utilize data from the CSTIMS system to analyze and better identify risk based targets for monitoring and inspection, which should result in more effective use of our limited oversight resources.*

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

*Class E Third Party*

*Yes, the Department should continue to regulate this activity at the current level.*

*Commercial Driver License (CDL) Third Party*

*Yes, the Department should continue to regulate this activity at the current level.*

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

*Class E Third Party*

*No fees are charged.*

*Commercial Driver License (CDL) Third Party*

*No fees are charged.*

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

Class E Third Party

*No fees are charged.*

Commercial Driver License (CDL) Third Party

*No fees are charged.*

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

Class E Third Party

*No fees are charged.*

Commercial Driver License (CDL) Third Party

*No fees are charged.*

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

Class E Third Party

*No fees are charged for the oversight and regulation of this program. Oversight is necessary to ensure public safety and security in the administration of Class E exams by*

*third party examiners and to ensure compliance with Florida laws regarding the administration of Class E exams.*

*Commercial Driver License (CDL) Third Party*

*No fees are charged by the State to regulate this program. States are required by 49 CFR 384.201 to “adopt and administer a program for testing and ensuring the fitness of persons to operate commercial motor vehicles (CMVs) in accordance with the minimum Federal standards contained in part 383 of this title.” The regulation and oversight of the State’s CDL Third Party Testing Program is performed as required by 49 CFR 383.75.*

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

*Class E Third Party*

*The Department’s contract with the Automated Driver License Testing System (ADLTS) service provider is of no cost to the state. The only costs associated with managing this program are the salaries of staff involved in oversight and contractual management of third parties.*

*Commercial Driver License (CDL) Third Party*

*The Department continually assesses this program for effectiveness and quality, and maintains contracts with all Third Party Administrators and Testers to ensure compliance through oversight. Up front programmatic testing and continuous program monitoring occurs to ensure that Administrators and Testers adhere to all requirements.*

## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Highway Safety and Motor Vehicles

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

Florida Rider Training Program (F RTP) previously the Motorcycle Safety Education Program

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

*Operational efficiencies were achieved by utilizing existing staff members of the Department's Florida Rider Training Program (F RTP) to conduct all field oversight activities involving schools. These members now conduct all field quality assurance site visits for the Florida Rider Training Program, Driver Education and Licensing Assistance Programs (DELAP), Third Party Administrators of Class E Knowledge and Skill exams and Commercial Driving Schools.*

*The Department utilizes existing staff to perform oversight of the additional programs listed above. By maximizing staff hours and cross training members to perform oversight of multiple, similar programs, the department avoided the need for additional staff and the associated costs.*

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

*The Florida Rider Training Program is going to be included in the Florida Business Information Portal (Chapter 2015-224, Laws of Florida). This portal will assist entrepreneurs, in starting their business in Florida, by providing information regarding Florida requirements for licenses, permits and registrations.*

*We will continue cross training staff to increase subject matter experts within the program. We are identifying system issues and developing business rules which will streamline system functionality for stakeholders and internal staff. We will collaborate with stakeholders, utilizing their staff and ranges to assist the Department in providing training opportunities for those seeking to be recognized as a Rider Coach.*

*By partnering with these stakeholders, the Department will save approximately \$3,000-\$4,000 per year in travel expenses. The Department is also seeking to create a centralized training center to lessen the need for the use of stakeholder facilities and to improve service delivery by maintaining a regular schedule of training events. Additionally, state owned training motorcycles will all be in one central location which*

*will simplify the inventory process, help us to maintain efficiency and accountability and will facilitate needed motorcycle maintenance.*

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

*Yes, it is an appropriate function that our agency should continue.*

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

*No fees are charged to businesses or professions that use this program. However, a \$2.50 motorcycle safety education fee (section. 320.08(1)(c) F.S.) is collected annually from each motorcycle, motor-driven cycle, or moped registered.*

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

*The fees collected from the annual license registration (Motorcycle Safety Education Fee) are sufficient to fund the program.*

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

*N/A*

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:
  - a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or

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

*The fees collected from the registration of motorcycles, motor driven cycles, and mopeds are sufficient to perform the current functions of FRTP.*

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

*This program is self-sufficient.*

## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Highway Safety and Motor Vehicles

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Driving Under the Influence (DUI)

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

*Through semi-annual unannounced site visits, the Department has improved its services by closely monitoring and coordinating the DUI Programs with the DUI drivers. The Department conducts site visits to ensure the DUI Program Instructors deliver the highest level of education. The Department reviews the psychosocial evaluations of the DUI offender and if required, their referral for substance abuse treatment.*

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

*The DUI Program process is going to be included in the Florida Business Information Portal (Chapter 2015-224, Laws of Florida). This portal will assist entrepreneurs, in starting their business in Florida, by providing information regarding Florida requirements for licenses, permits and registrations.*

*During Fiscal Year 2016-17, the Department plans to submit a fully revised Rule 15A-10. The revisions will improve and update DUI Program oversight functions of the Department.*

*The Department is evaluating the development of a comprehensive impaired driving tracking database. This database will serve as the primary system to store and track all DUI offenses from the time of the roadside stop through the court adjudication to the final completion of the DUI education or substance abuse treatment program.*

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

*Yes, it is an appropriate function that the agency should continue. The reduction of annual DUI recidivism rates has shown the efficiency and appropriateness of this program.*



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

*Revenue estimates are based on the number of DUI and Reckless Driving (alcohol involved) convictions and Refusals, and the offender's participation in the required educational components. The revenue is forecast by the Highway Safety Fees Estimating Conference.*

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

*As of September 1, 2009, the DUI assessment fee increased from \$12 to \$15 (section 322.293(2), F.S.). This fee has eliminated the subsidy for this program.*

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

*A fee increase implemented September 1, 2009, eliminated the subsidy for this program. The fees are set by statute and the programs are solely user funded by the assessment fees collected from offenders. There are no fines for noncompliance. When problems are found they are reported as deficiencies. The DUI Program has to remedy the deficiency and the Department monitors the program to ensure that the remedy is followed through. The DUI Programs do have an incentive to comply with prompt payment of the assessment fee, as failure to do so is reflected as a deficiency in their final report, which is sent to the Chief Judge in the program area and reviewed by the program's Board of Directors.*

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:
  - a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or

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

*The program provides substantial benefits to society by improving highway safety and addressing problems with inebriated drivers.*

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

*Each fiscal year, the Department continues to closely monitor revenue collections for DUI assessment fees to ascertain whether the fees are sufficient to support this program.*

## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Highway Safety and Motor Vehicles

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Ignition Interlock Device (IID)

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

*Our Ignition Interlock staff has the ability to review photographs of Ignition Interlock Device (IID) users for each breath sample provided in our IID and Driving Under the Influence (DUI) sections. The requirement for visual evidence was implemented in section 316.1938, Florida Statutes, and now all IID vendors contracted in Florida must provide this evidence. This evidence also gives the IID staff the ability to trouble shoot and assist customers during their interactions.*

*Operational efficiencies derived from the visual evidence allow the Department to prove or disprove a client's assertions that another individual provided the breath sample that was deemed a violation. An additional vendor, Intoxalock, has been contracted with to provide services throughout Florida. There are now 4 IID vendors that are required to maintain service centers in each of the 20 judicial circuits. To optimize service delivery, the Department also conducts IID vendor site visits which ensure that the vendors are in compliance with their contract.*

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

*The Ignition Interlock Device (IID) Program is going to be included in the Florida Business Information Portal (Chapter 2015-224, Laws of Florida). This portal will assist entrepreneurs, in starting their business in Florida, by providing information regarding Florida requirements for licenses, permits and registrations.*

*We will contract with additional vendors that meet the requirements outlined in the contract. We will utilize vendor provided reports to conduct trend analysis and ensure client compliance. We will also be utilizing the visual evidence which allows the Department to prove or disprove a client's assertions that another individual provided the breath sample that was deemed a violation. We will monitor existing vendors to ensure they continue to meet all contractual requirements.*

*The Department is currently exploring the feasibility of requiring real time reporting of IID violations from each of the contracted vendors. The next generation IID's are now*

*capable of reporting violations real time in an effort to begin the case management process in an expedited manner. Additionally, this will give the Department a faster turnaround time on sending IID violation requirement letters to drivers that have violated the use of their IID. This will give DUI Programs throughout the state the ability to address risk indicators in a more prompt and efficient timeframe.*

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

*Yes, it is an appropriate function that our agency should continue. The IID Program is a vital tool for monitoring clients and reducing recidivism rates.*

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

*Revenue estimates are based on the number of individuals who comply with installation of the Ignition Interlock Device. The revenues are forecast by the Highway Safety Fees Estimating Conference.*

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

*No. When the IID program started in February 2004, there was no assessment fee charged for regulatory oversight. The assessment fee for IID installation was based on a law change effective September 1, 2009, a new assessment fee of \$12 is collected for each IID installed (322.2715(5), F.S.). The \$12 assessment fee has not been sufficient to cover the regulatory service or oversight by the Department of the IID business.*

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

*The assessment fees charged do not cover the regulatory or oversight costs of the Department for the IID industry. The assessment fees charged are set by statute and require a statutory change to modify. The IID vendors are solely user funded. Vendors*

*collect the assessment fees from offenders and send the fees to the Department. There are no fines for non-compliance. When problems are found they are reported as deficiencies. The IID vendors have to remedy the deficiency and the Department monitors the vendors to ensure that the remedy is followed through. The Vendor has an incentive to comply with prompt payment of the assessment fee as stipulated in the Vendor's contractual agreement with the Department. Any violation of the agreement is subject to either a settlement agreement or a cancellation of the agreement.*

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

*The program provides benefits to society by improving highway safety while on an offender's vehicle.*

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

*Each fiscal year, the Department monitors revenue collections for the IID assessment fees to ascertain whether the fees are sufficient to support this program.*

## Schedule IA - Part I: Examination of Regulatory Fees

**Department:**\_\_Highway Safety and Motor Vehicles

**Regulatory Service to or Oversight of Businesses or Professions Program:**\_\_  
Dealer Licensing

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

*In an effort to clarify the statutory provisions regarding the use of dealer license plates to avoid potential misuse, the Department sent a memorandum regarding the sale of dealer license plates to all licensed dealers, stakeholders, associations and Dealer Training Schools. An audit of dealers purchasing large amounts of dealer license plates at one time or over the course of time, revealed that the dealer had very low inventory, a small number of employees, and no explanation of the whereabouts of some of the dealer license plates. Dealers requesting to purchase dealer license plates are required to present the certificate of insurance document indicating the number of dealer license plates reported to the insurance carrier under the dealer's garage liability policy.*

*The Department has implemented data driven, risk based auditing of dealers thereby concentrating on businesses that have the potential to cause consumer harm or fraud. This process has resulted in a total of 290 motor vehicle dealers who were determined to be high risk during the first round of dealer high risk inspections conducted between February and June of 2016. Of the 290 dealers inspected, 172 required second inspections due to inspection failure, and 52 required third inspections due to failure of their first and second inspections. These inspections resulted in 34 administrative actions.*

*An advisory was designed to improve services by educating dealers of the impact a cancelled policy will have on their business and to protect customers from potential liabilities while test driving uninsured automobiles. Notification was sent to the automobile industry advising them that if the dealer's garage liability insurance policy has been cancelled and a gap in insurance occurs, a \$1,000 fine will be assessed.*

*In an attempt to mitigate multiple notices to dealers throughout the year requesting a current garage liability certificate of insurance and bond, the Bureau of Dealer Services created an email address, [GLIBondRenewal@flhsmv.gov](mailto:GLIBondRenewal@flhsmv.gov), for insurance companies and surety bond companies to submit their renewed garage liability insurance and bond renewals. The Bureau is currently collecting business email addresses for these insurance companies in order to assist with better communication. Through this new communication avenue the Department will notify the insurance company, the surety*

*bond company and the dealer at the same time of the impending renewal period. Since the implementation in December 2015, the Department has updated 3,344 dealer records with GLI and surety bond renewals.*

*In our efforts to expedite cancellations and reinstatement of garage liability insurance and bonds for motor vehicle dealers, the Bureau of Dealer Services in conjunction with the Office of General Counsel, created and implemented a reporting tool for insurance companies to report cancellations of dealer garage liability insurance and surety bond companies to report cancellations of dealer surety bonds. A new email address, [OGCDealerGroup@flhsmv.gov](mailto:OGCDealerGroup@flhsmv.gov), was created that allows these companies to report cancellations to the Office of General Counsel which in turn allows for more rapid issuance of administrative actions. This has increased our ability to protect consumers from uninsured and non-bonded dealers. Since the implementation in November 2015, the Department has received 1,364 cancellations and reinstatement of garage liability insurance and bonds.*

*In an effort to encourage the Dealer Training Schools to offer their pre-licensing and continuing Education classes in Spanish for the Spanish speaking residents of Florida, the Department recently licensed three Dealer Training Schools to offer their classes in Spanish. These schools submitted their curriculum in Spanish that was reviewed and approved by the Department.*

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

*Implementation of a new site inspection program began in mid-July. Prospective dealers are required to conduct business in a location that meets certain criteria. The department must visit the location to confirm that the statutory requirements are in place. The department is averaging three visits per new dealership location. The bureau provided a checklist to dealers that lists all the requirements and requires the dealer to provide photos confirming that certain requirements have been met before we drive to the location. The goal is to reduce the number of visits to a potential dealer's location by two-thirds.*

*Swift communication with dealers has proven to be more effective therefore; the department is reviewing email software that will allow for easier communication with large volumes of recipients. Currently, only 500 emails can be inserted in a blind copy field and one email account can send only up to 10,000 emails in a 24 hour period. Communicating with 15,000 motor vehicle industry professionals quickly is critical to our success.*

*An e-mail address was created this fiscal year exclusively for the garage liability insurance companies and surety bond companies to e-mail their renewal notices for the dealers directly to the Department. This ensures instant receipt of renewal notices for the dealers from the insurance companies and the timely action from the Department. This not only saves time but also improves efficiency of service.*

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

*Yes. The Department regulates the licensing of Florida motor vehicle, mobile home, and recreational vehicle dealer, manufacturer, importer and distributor industry; ensures compliance from dealers; handles termination of franchised and recreational vehicle dealers; handles establishment and relocation of dealerships; handles petitions from dealers, manufacturers and law offices and submits cases to the Division of Administrative Hearings; investigates consumer complaints against dealers; inspects rebuilt and assembled from parts vehicles to protect consumers from fraud; and enforces Florida registration laws. These practices promote public safety and consumer protection.*

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

*No. Fees are charged in accordance with statutory requirements mandated in Chapter 320, Florida Statutes.*

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

*No. In Fiscal Year 2014-15, the Department received \$1,545,497 in Dealer License Fees while expenditures for this program, funded from the Highway Safety Operating Trust Fund, totaled \$4,700,751.*

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



*All fees are statutorily mandated. There is no sliding scale based on size of the regulated industry. However, license fees appear to be lower compared to other states our size. There are incentives for the regulated industries to comply with state laws, as administrative fines are assessed and/or dealer licenses are suspended or revoked in cases of violation of such laws.*

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

*The Bureau of Dealer Services and the Motorist Services Support are responsible for field work which includes licensing and regulating all motor vehicle, recreational vehicle, and mobile home dealers in Florida. Significant services to motorists and enforcement of laws governing motor vehicles is provided to Florida residents. These services include timely and accurate publication of notices to establish and relocate franchised dealers in the Florida Administrative Register; investigating and resolving unauthorized sales by unlicensed franchised and recreational vehicle dealers; investigating and resolving unauthorized sales by manufacturers, ensuring correct information including line-makes assigned by the National Crime Information Center for manufacturers are reflected on their Manufacturer Statement of Origin (MSO); assisting customers through Tax Collectors' Offices; investigating and resolving complaints against motor vehicle dealers; verifying vehicle identification numbers so residents can properly title and sell their vehicles; investigating instances of odometer and vehicle title fraud; assisting to tax collectors; sale of temporary license plates; provision of public education events; etching the vehicle identification number on motor vehicles; inspecting salvage vehicles that have been rebuilt; investigating persons selling motor vehicles who are not licensed dealers; and issuing vehicle titles and registrations to Florida residents.*

*Activities of these bureaus identify fraud and theft related to motor vehicles in a proactive manner; ensure titles are transferred, liens are paid off properly, proper fees are collected; and correct sales tax is collected. For many of these services, the bureaus are the only place where residents can get such assistance.*

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

*One method to reduce state subsidy is to amend Chapter 320, Florida Statutes, and raise statutory fees to a level sufficient to cover program costs. The Office of Program Policy Analysis and Government Accountability (OPPAGA) raised this issue in recent audits.*

## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Highway Safety and Motor Vehicles

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Manufactured Home Construction and Installation Program

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

*To improve the quality of our inspections in the manufacturing plants and dealer lots, procedures were revised, new procedures and forms and new detailed check lists with requirements as per U.S. Department of Housing and Urban Development (HUD) and Code of Federal Regulations were created to provide step by step instructions for Compliance Examiners (CE). Checklists also provide detailed guidance required for inspection of manufactured homes during an in plant inspection at various stages of construction to ensure the manufactured homes were being constructed in compliance with the Design Approval Primary Inspection Agency (DAPIA), HUD standards, and the Manufacturer's Quality Assurance (QA) manual.*

*The Inspection Form was revised to improve the quality of inspections by the CEs in the plants. CEs document whether the unit that they have inspected in one stage of production has met the requirements of DAPIA, HUD and the Manufacturer's QA manual.*

*The "Used Home Inspection Report" has been enhanced to include references to applicable Florida Administrative Code rules 15C-1 and 15C-2 for the Safety Program Consultants (SPCs) to use during installation inspections of new manufactured homes and used manufactured homes.*

*Detailed surveillance, documentation and quality control are in place in the manufacturing plants. The Supervisors and Field Manager accompany their CEs and SPCs on a regular basis, through either planned or unannounced visits to the plants to observe their member performing inspections to ensure accuracy of inspections. This time is also used as an opportunity to train the staff on any discrepancies found.*

*In depth training is being provided to staff of the Manufactured Housing Section to ensure inspections conducted are in compliance with HUD requirements and Code of Federal Regulations requirements. This ensures safety for the residents of these homes.*

*The curriculum for classes offered and documentations for Continuing Education for the building Department officials was created to ensure accurate training was offered and*

*the importance and safety of proper installation as per the manufacturer installation manual was being addressed.*

*To improve the efficiency of investigations of the manufactured homes, the Department has provided the SPCs with cameras to enable on site photographs of installation non-conformance. The SPCs e-mail the photographs to their manager for immediate review. These photographs are also used for training purposes for the staff and for installers training classes.*

*The Department has provided the SPCs laser measurement tools to enable one person to take exact measurements during manufactured home installation inspection. This has saved time and effort for the SPCs.*

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

*The Bureau of Dealer Services is committed to our agency's motto of being, **Leaders in Service, Agents of Progress, and Champions in Safety**. Providing optimum service to consumers, manufacturers, dealers and installers is a priority for this agency.*

*One of our goals as a **Champion in Safety** is to ensure manufactured homes are installed so they are safe and livable and that manufactured home installations are performed in compliance with all Manufactured Housing codes and installation standards. A good installation reflects well on the installer, the dealer and the manufacture. Unfortunately, the reverse occurs when the homeowner experiences an installation that does not meet procedure and/or code.*

*In an effort to be **Leaders in Service** to all the stakeholders listed above and our mutual customer, the consumer, and to act as **Agents of Progress**, we are implementing a program that we believe will increase the number of homes being inspected by this agency, and improve our operational efficiency. We are asking for their valuable assistance to help us achieve this goal.*

*We have created a dedicated e-mail address that will provide a central location for manufactured home installers to notify the department when they are installing a manufactured home and for manufactured home dealers to provide the department with the date the home will be delivered to the respective home site and the name of the installer. Both are accomplished by submitting the date of the pending installation and identification number of the manufactured home to [MHInstallations@flhsmv.gov](mailto:MHInstallations@flhsmv.gov). This will assist the department with identifying and scheduling installation inspections.*

*Bureau of Dealer Services is in the process of sending out brochures to all manufactured home installers highlighting the top ten observed violations found during manufactured home installation inspections.*

*The Safety Program Consultants and Compliance Examiners will be utilizing some of their time to visit and educate manufactured home dealers and building departments creating an awareness of these violations and highlighting the importance of safety for the residents of the manufactured homes by discussing the importance of a good installation to all businesses involved in the manufacture and sale of manufactured homes.*

*The bureau is also developing a newsletter for all in the manufactured home industry to assist with opening the lines of communication.*

*Our overall goal is to see improved safety of the manufactured homes, reduction in the consumer complaints received, a reduction in the number of return inspections and a reduction in violations in manufacturing plants and installations.*

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

*Yes, these are appropriate functions the Department should continue at their current level, since they provide consumer protection to manufactured home residents. In addition, the manufactured home construction and installation regulation program is administered by the Department as a contract agency for the U.S. Department of Housing and Urban Development (HUD) which regulates manufactured home construction nationally.*

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

*No, the current fees charged for these two programs are not based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference. The fee for the manufactured home construction regulation program is established in administrative rule 15C-2.003, Florida Administrative Code (F.A.C.). The fees for the manufactured home installer program are provided in sections 320.8249(1), (2) and (13), Florida Statutes. Fees that cover the consumer complaint programs established by U.S. Department of Housing and Urban Development (HUD) in the form of monitoring fees.*

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

*No, neither the fees charged to the manufactured home industry for regulation of construction, the manufactured home installer fees, nor the monitoring fees for consumer complaints are sufficient to cover the cost of operating the corresponding program. The revenue from these fees fluctuates with the level of manufactured home production and consumer demand.*

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

*The current fees charged for the manufactured home construction regulation and the manufactured home installer programs are not excessive. There is no sliding scale for fees based on the size of the regulated industries. There are, however, incentives for regulated industries to comply with state laws and administrative rules. Manufactured home manufacturers are assessed special inspection fees when they fall out of compliance with HUD construction standards. Manufactured home installers face administrative fines and possible license revocation for violation of laws and administrative rules governing their businesses.*

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

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

*To increase the fee for regulating manufactured home construction would require amendment of Rule 15C-2.003, Florida Administrative Code. To increase the fees for regulating manufactured home installation would require amendment of Sections 320.8249(1), (2) and (13), Florida Statutes. Monitoring fees are established by HUD in Federal rule.*

*These programs provide significant benefit to the general public. Manufactured home safety is ensured through regulation of construction in accordance with the HUD construction standards. Manufactured home installation safety is ensured by enforcing state and federal regulations in this regard. The consumer complaint program assists consumers with warranty and life safety issues with their homes. Raising the fees that support these programs would not put the affected industries at a competitive disadvantage with similar industries in other states. In general, the fees paid for these programs by comparable industries in other states are substantially higher when compared to Florida.*

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

*To increase the fee for regulating manufactured home construction, it would require amending Rule 15C-2.003, Florida Administrative Code.*

*To increase the fees for regulating manufactured home installation, it would require amending Sections 320.8249(1), (2) and (13), Florida Statutes.*

*HUD establishes monitoring fees by Federal rule.*

## Schedule IA - Part II: Examination of Regulatory Fees

Department: **Highway Safety and Motor Vehicles**

Regulatory Service to or Oversight of Business or Profession Program: **Commercial Driving Schools**

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

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

If the program is subsidized from other state funds, what is the source(s)? **Highway Safety Operating Trust Fund**

What is the current annual amount of the subsidy? **\$205,198**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
<b>Commercial Driving Schools</b>	Driving School Application Fee	488.03	n/a	n/a	No	\$50	General Revenue
	Original License Fee	488.03	n/a	n/a	No	\$200	General Revenue
	Renewal School Fee	488.03	n/a	n/a	No	\$100	General Revenue
	Original Vehicle ID Certificate Fee	488.05	n/a	n/a	No	\$15	General Revenue
	Renewal Vehicle ID Certificate Fee	488.05	n/a	n/a	No	\$10	General Revenue
	Original Instructor Application Fee	488.04(1)	n/a	n/a	No	\$25	General Revenue
	Renewal Instructor Fee	488.04 (1)	n/a	n/a	No	\$10	General Revenue
	Original Agent Fee	488.045	n/a	n/a	No	\$25	General Revenue
	Renewal Agent Fee	488.045	n/a	n/a	No	\$10	General Revenue

Annual collections deposited in General Revenue for the Commercial Driving Schools totaled \$50,087 in FY 2015-16 and are estimated to total \$50,087 in FY 2016-17 and \$50,087 in FY 2017-18. Prior year actuals and future estimates sourced from the Revenue Estimating Conference and HSMV Revenue Publication.

Annual expenditures incurred from the Highway Safety Operating Trust Fund for this program totaled \$205,198 in FY 2015-16 and are estimated to total \$209,174 in FY 2016-17 and \$213,234 in FY 2017-18.







## Schedule IA - Part II: Examination of Regulatory Fees

Department: **Highway Safety and Motor Vehicles**

Regulatory Service to or Oversight of Business or Profession Program: **DUI Programs**

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

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
DUI Programs	DUI Schools Fees-Application Fee	s. 322.292(2)(c), F.S.	\$1,000	1993	No	\$1,000	Highway Safety Operating TF
DUI Programs	DUI Schools Fees	s. 322.293(2), F.S.	\$15	2009	No	\$15	Highway Safety Operating TF

Annual collections for this fee totaled \$689,658 in FY 2015-16 and are estimated to total \$646,415 in FY 2016-17 and \$656,274 in FY 2017-18. Prior year actuals and future estimates sourced from the Revenue Estimating Conference and HSMV Revenue Publication.

Annual expenditures incurred for the DUI Program totaled \$261,818 in FY 2015-16 and are estimated to total \$266,861 in FY 2016-17 and \$272,012 in FY 2017-18.

## Schedule IA - Part II: Examination of Regulatory Fees

Department: **Highway Safety and Motor Vehicles**

Regulatory Service to or Oversight of Business or Profession Program: **Ignition Interlock**

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) **18%**

If the program is subsidized from other state funds, what is the source(s)? **Highway Safety Operating Trust Fund**

What is the current annual amount of the subsidy? **\$48,866**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Ignition Interlock Device	IID Installation Assessment Fee	s. 322.2715(5), F.S.	\$12	2009	No	\$12	Highway Safety Operating TF

Annual collections for this fee totaled \$212,952 in FY 2015-16 and are estimated to total \$270,471 in FY 2016-17 and \$274,596 in FY 2017-18. Prior year actuals and future estimates sourced from the Revenue Estimating Conference and HSMV Revenue Publication.

Annual expenditures incurred for the Ignition Interlock Program totaled \$261,818 in FY 2015-16 and are estimated to total \$266,861 in FY 2016-17 and \$272,012 in FY 2017-18.

## Schedule IA - Part II: Examination of Regulatory Fees

Department: **Highway Safety and Motor Vehicles**

Regulatory Service to or Oversight of Business or Profession Program: **Bureau of Issuance Oversight-Dealer Licensing**

Does Florida Statutes require the regulatory program to be financially self-sufficient? **No**

What percent of the regulatory cost is currently subsidized? **99%**

If the program is subsidized from other state funds, what is the source(s)? **Highway Safety Operating Trust Fund**

What is the current annual amount of the subsidy? **\$4,234,704**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Independent Dealer	Initial License Fee	320.27(3)	\$300.00	7/1/1985	NO	YES	General Revenue
Franchised Dealer	Initial License Fee	320.27(3)	\$300.00	7/1/1985	NO	YES	General Revenue
Wholesale Dealer	Initial License Fee	320.27(3)	\$300.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Auction	Initial License Fee	320.27(3)	\$300.00	7/1/1985	NO	YES	General Revenue
Independent Dealer	1- Year Renewal Fee	320.27(3)	\$75.00	7/1/1985	NO	YES	General Revenue
Franchised Dealer	1- Year Renewal Fee	320.27(3)	\$75.00	7/1/1985	NO	YES	General Revenue
Wholesale Dealer	1- Year Renewal Fee	320.27(3)	\$75.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Auction	1- Year Renewal Fee	320.27(3)	\$75.00	7/1/1985	NO	YES	General Revenue
Service Facility	1- Year Renewal Fee	320.27(3)	\$75.00	7/1/1985	NO	YES	General Revenue
Independent Dealer	2-Year Renewal Fee	320.27(3)	\$150.00	7/1/2013	NO	YES	General Revenue
Franchised Dealer	2-Year Renewal Fee	320.27(3)	\$150.00	7/1/2013	NO	YES	General Revenue
Wholesale Dealer	2-Year Renewal Fee	320.27(3)	\$150.00	7/1/2013	NO	YES	General Revenue
Motor Vehicle Auction	2-Year Renewal Fee	320.27(3)	\$150.00	7/1/2013	NO	YES	General Revenue
Service Facility	2-Year Renewal Fee	320.27(3)	\$150.00	7/1/2013	NO	YES	General Revenue
Independent Dealer	Late Renewal Fee	320.27(4)(a)	\$100.00	7/1/1980	NO	YES	General Revenue
Franchised Dealer	Late Renewal Fee	320.27(4)(a)	\$100.00	7/1/1980	NO	YES	General Revenue
Wholesale Dealer	Late Renewal Fee	320.27(4)(a)	\$100.00	7/1/1980	NO	YES	General Revenue
Motor Vehicle Auction	Late Renewal Fee	320.27(4)(a)	\$100.00	7/1/1980	NO	YES	General Revenue
Service Facility	Late Renewal Fee	320.27(4)(a)	\$100.00	7/1/1980	NO	YES	General Revenue
Independent Dealer	Name Change	320.27(4)(a)	\$25.00	10/1/1982	NO	YES	General Revenue
Franchised Dealer	Name Change	320.27(4)(a)	\$25.00	10/1/1982	NO	YES	General Revenue
Franchised Dealer	Non-Resident	320.71(1)	\$2,000.00	10/1/1988	NO	YES	DFS - \$1,250/County - \$750
Wholesale Dealer	Name Change	320.27(4)(a)	\$25.00	10/1/1982	NO	YES	General Revenue
Motor Vehicle Auction	Name Change	320.27(4)(a)	\$25.00	10/1/1982	NO	YES	General Revenue
Service Facility	Name Change	320.27(4)(a)	\$25.00	10/1/1982	NO	YES	General Revenue
Independent Dealer	Supplemental Location	320.27(5)	\$50.00	7/1/1985	NO	YES	General Revenue
Vehicle Rebuilt Inspection	Initial Inspection Fee	319.32(1)	\$40.00	9/1/2009	NO	YES	General Revenue
Vehicle Re-Inspection	Subsequent Inspection	319.32(1)	\$20.00	9/1/2009	NO	YES	General Revenue
Franchised Dealer	FAR fee & serv charge	320.642	\$75 + \$2.50	9/1/2009	NO	YES	Highway Safety Operations Trust Fund
Franchised Dealer	Supplemental Location	320.27(5)	\$50.00	7/1/1985	NO	YES	General Revenue
Wholesale Dealer	Supplemental Location	320.27(5)	\$50.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Auction	Supplemental Location	320.27(5)	\$50.00	7/1/1985	NO	YES	General Revenue
Service Facility	Supplemental Location	320.27(5)	\$50.00	7/1/1985	NO	YES	General Revenue
Independent Dealer	Location Change	320.27(3)	\$50.00	7/1/1985	NO	YES	General Revenue

Franchised Dealer	Location Change	320.27(3)	\$50.00	7/1/1985	NO	YES	General Revenue
Wholesale Dealer	Location Change	320.27(3)	\$50.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Auction	Location Change	320.27(3)	\$50.00	7/1/1985	NO	YES	General Revenue
Service Facility	Location Change	320.27(3)	\$50.00	7/1/1985	NO	YES	General Revenue
Independent Dealer	Fingerprint Fee	320.27(3)	\$53.25	7/1/2003	NO	YES	Highway Safety Operations Trust Fund
Franchised Dealer	Fingerprint Fee	320.27(3)	\$53.25	7/1/2003	NO	YES	Highway Safety Operations Trust Fund
Wholesale Dealer	Fingerprint Fee	320.27(3)	\$53.25	7/1/2003	NO	YES	Highway Safety Operations Trust Fund
Motor Vehicle Auction	Fingerprint Fee	320.27(3)	\$47.00	7/1/2003	NO	YES	Highway Safety Operations Trust Fund
Motor Vehicle Importer	Initial License Fee	320.62	\$300.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Distributor	Initial License Fee	320.62	\$300.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Manufacturer	Initial License Fee	320.62	\$300.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Importer	Renewal Fee	320.62	\$100.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Distributor	Renewal Fee	320.62	\$100.00	7/1/1985	NO	YES	General Revenue
Motor Vehicle Manufacturer	Renewal Fee	320.62	\$100.00	7/1/1985	NO	YES	General Revenue
Mobile Home Dealer	Initial License Fee	320.77(4)	\$300.00	7/1/1985	NO	YES	General Revenue
Mobile Home Dealer	Renewal Fee	320.77(4)	\$100.00	7/1/1980	NO	YES	General Revenue
Mobile Home Dealer	Fingerprint Fee	320.77(3)(j)	\$47.00	7/1/2003	NO	YES	General Revenue
Mobile Home Dealer	Location Change	320.77(4)	\$25.00	7/1/1980	NO	YES	General Revenue
Mobile Home Dealer	Supplemental Location	320.77(7)	\$50.00	7/1/1985	NO	YES	General Revenue
Mobile Home Dealer	Non-Resident	320.71(1)	\$2,000.00	10/1/1988	NO	YES	DFS - \$1,250/County - \$750
Mobile Home Dealer	Protection Trust Fund	320.781(2)	\$40.00	10/1/1990	NO	YES	Mobile Home & RV TF
Mobile Home Dealer Renew	Protection Trust Fund	320.781(2)	\$40.00	10/1/1990	NO	YES	Mobile Home & RV TF
Mobile Home Broker	Initial License Fee	320.77(4)	\$300.00	7/1/1985	NO	YES	General Revenue
Mobile Home Broker	Renewal Fee	320.77(4)	\$100.00	7/1/1985	NO	YES	General Revenue
Mobile Home Broker	Fingerprint Fee	320.77(3)(j)	\$47.00	7/1/2003	NO	YES	General Revenue
Mobile Home Broker	Location Change	320.77(4)	\$25.00	7/1/1980	NO	YES	General Revenue
Mobile Home MFG	Initial License Fee	320.8225(3)	\$300.00	7/1/1985	NO	YES	General Revenue
Mobile Home MFG	Renewal Fee	320.8225(3)	\$100.00	7/1/1985	NO	YES	General Revenue
Mobile Home MFG	Protection Trust Fund	320.781(2)	\$40.00	10/1/1990	NO	YES	Mobile Home & RV TF
Mobile Home MFG Renew	Protection Trust Fund	320.781(2)	\$40.00	10/1/1990	NO	YES	Mobile Home & RV TF
Recreational Vehicle Dlr	Initial License Fee	320.771(4)	\$300.00	7/1/1985	NO	YES	General Revenue
Recreational Vehicle Dlr	Renewal Fee	320.771(4)	\$100.00	7/1/1985	NO	YES	General Revenue
Recreational Vehicle Dlr	Location Change	320.771(4)	\$25.00	7/1/1985	NO	YES	General Revenue
Recreational Vehicle Dlr	Non-Resident	320.71(1)	\$2,000.00	10/1/1988	NO	YES	DFS - \$1,250/County - \$750
Recreational Vehicle Dlr	Fingerprint Fee	320.771(3)(l)	\$47.00	7/1/2003	NO	YES	General Revenue
Recreational Vehicle Dlr	Supplemental Location	320.771(7)	\$50.00	7/1/1985	NO	YES	General Revenue
Recreational Vehicle Dlr	Protection Trust Fund	320.781(2)	\$40.00	10/1/1990	NO	YES	Mobile Home & RV TF
Recreational Vehicle MFG	Initial License Fee	320.8225(3)	\$300.00	7/1/1985	NO	YES	General Revenue
Recreational Vehicle MFG	Renewal Fee	320.8225(3)	\$100.00	7/1/1985	NO	YES	General Revenue
Recreational Vehicle MFG	Protection Trust Fund	320.781(2)	\$40.00	10/1/1990	NO	YES	Mobile Home & RV TF

Annual Collections or GR totaled \$1,943,875 for FY 2015-16 and are estimated to total \$1,911,506 for FY 2016-17 and \$1,524,405 for FY 2017-18.

Annual Collections for HSOTF totaled \$9,714 for FY 15-16 and are estimated to total \$10,000 for FY 2016-17 and \$10,000 for FY 2017-2018

Annual Collections for the Mobile Home & RV TF totaled \$49,880 for FY 2015-16 and are estimated to total \$45,000 for 2016-17 and 2017-18

Annual FY 2015-16 expenditures totaled \$4,244,418 and are estimated to total \$4,313,481 for FY 2016-17 and \$4,384,029 for FY 2017-18.

Prior year actuals and future estimates sourced from the Revenue Estimating Conference and HSMV Revenue Publication.

## Schedule IA - Part II: Examination of Regulatory Fees

Department: **Highway Safety and Motor Vehicles**

Regulatory Service to or Oversight of Business or Profession Program: **Mobile Home Construction and Installation Program**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **Yes; 320.8255 (4), F.S.**

What percent of the regulatory cost is currently subsidized? (0 to 100%)? **90%**

If the program is subsidized from other state funds, what is the source(s)? **Highway Safety Operating Trust Fund**

What is the current annual amount of the subsidy?\* **\$1,167,706**

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Mobile Home Construction	HUD Label Fee	Sec. 320.8255, F.S.	\$32	Not in Statute	Yes	\$32	General Revenue
Mobile Home Construction	Special Inspection Fee	Sec. 320.8255, F.S.	\$30 per hour plus mileage for Comp. Ex.	Not in Statute	Yes	\$30 per hour plus mileage for Comp. Ex.	General Revenue
			\$45 per hour plus mileage for Engineer			\$45 per hour plus mileage for Engineer	
MH Installer Licensing	MH Installer License Fee	Sec. 320.8249(1), F.S.	\$150	1996	No	\$150	Highway Safety Trust Fund
MH Installer Licensing	MH Installer License Application Fee	Sec. 320.8249(2), F.S.	\$100	1996	No	\$50	Highway Safety Trust Fund
MH Installer Regulation	MH Installer Decal Fee	Sec. 320.8249(13), F.S.	\$10	1996	No	\$10	Highway Safety Trust Fund

Annual Collections totaled \$427,338 in FY 2015-16 and are estimated to total \$490,261 in FY 2016-17 and \$490,261 in FY 2017-18.

Of the amount collected, \$302,168 was deposited in the General Revenue Fund in FY 2015-16, \$342,204 is estimated in FY 2016-17, and \$342,204 is estimated for FY 2017-18. Prior year actuals and future estimates sourced from the Revenue Estimating Conference and HSMV Revenue Publication.

Expenditures in FY 2015-16 were \$1,289,329 and are estimated at \$1,313,205 for FY 2016-17, and \$1,337,595 for FY 17-18.

All expenditures are funded from the Highway Safety Operating Trust Fund.

\*Subsidy calculation reflects total collections for the Highway Safety Operating Trust Fund, less expenditures.

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 -2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Highway Safety Operating Trust Fund
<b>Budget Entity:</b>	<b>7600</b>
<b>LAS/PBS Fund Number:</b>	2009

	Balance as of 6/30/2016		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	\$11,618,171.23	(A)	-	11,618,171.23
ADD: Other Cash (See Instructions)	\$3,475.20	(B)	-	3,475.20
ADD: Investments	\$129,471,760.49	(C)	-	129,471,760.49
ADD: Outstanding Accounts Receivable	\$18,864,348.98	(D)	-	18,864,348.98
ADD: _____	-	(E)	-	-
<b>Total Cash plus Accounts Receivable</b>	<b>\$159,957,755.90</b>	(F)	-	<b>159,957,755.90</b>
LESS: Allowances for Uncollectible	602,073.32	(G)	-	602,073.32
LESS: Approved "A" Certified Forwards	8,235,031.70	(H)	-	8,235,031.70
Approved "B" Certified Forwards	5,915,897.15	(H)	-	5,915,897.15
Approved "FCO" Certified Forwards	3,782,814.48	(H)	-	3,782,814.48
LESS: Other Accounts Payable (Nonoperating)	7,714,763.72	(I)	-	7,714,763.72
LESS: _____	-	(J)	-	-
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>\$133,707,175.53</b>	(K)	-	<b>133,707,175.53</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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



## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Federal Grants Trust Fund
<b>Budget Entity:</b>	<b>7600</b>
<b>LAS/PBS Fund Number:</b>	2261

	Balance as of 6/30/2016		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	2,440,546.73	(A)		2,440,546.73
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable	279,465.05	(D)	(69,664.82)	209,800.23
ADD: _____		(E)		-
<b>Total Cash plus Accounts Receivable</b>	<b>2,720,011.78</b>	(F)	<b>(69,664.82)</b>	<b>2,650,346.96</b>
LESS: Allowances for Uncollectible		(G)		-
LESS: Approved "A" Certified Forwards	37,836.07	(H)		37,836.07
Approved "B" Certified Forwards	51,179.86	(H)		51,179.86
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	1,243,804.26	(I)		1,243,804.26
LESS: Reduce Operating A/P		(J)	(8,105.82)	(8,105.82)
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>1,387,191.59</b>	(K)	<b>(61,559.00)</b>	<b>1,325,632.59</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Gas Tax Collection Trust Fund
<b>Budget Entity:</b>	<b>7600</b>
<b>LAS/PBS Fund Number:</b>	2319

	Balance as of 6/30/2016		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	3,490,112.92	(A)		3,490,112.92
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable	310,021.16	(D)		310,021.16
ADD: _____		(E)		-
<b>Total Cash plus Accounts Receivable</b>	<b>3,800,134.08</b>	(F)	-	<b>3,800,134.08</b>
LESS Allowances for Uncollectible		(G)		-
LESS Approved "A" Certified Forwards	178,264.93	(H)		178,264.93
Approved "B" Certified Forwards	18,278.77	(H)		18,278.77
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	3,240,112.94	(I)		3,240,112.94
LESS: _____		(J)		-
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>363,477.44</b>	(K)	-	<b>363,477.44</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Mobile Home and Recreational Vehicle Protection
<b>Budget Entity:</b>	<b>7600</b>
<b>LAS/PBS Fund Number:</b>	2463

	Balance as of 6/30/2016	SWFS*	Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	422,141.43 (A)			422,141.43
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable	1,398.00 (D)			1,398.00
ADD: _____		(E)		-
<b>Total Cash plus Accounts Receivable</b>	<b>423,539.43 (F)</b>		-	<b>423,539.43</b>
LESS: Allowances for Uncollectible		(G)		-
LESS: Approved "A" Certified Forwards		(H)		-
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	658.00 (I)			658.00
LESS: Unearned Revenue		(J)		-
<b>Unreserved Fund Balance, 07/01/2016</b>	<b>422,881.43 (K)</b>		-	<b>422,881.43 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2017 - 2018**

**Department Title:** Department of Highway Safety and Motor Vehicles  
**Trust Fund Title:** Highway Safety Operating Trust Fund  
**LAS/PBS Fund Number:** 2009

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2016**

Total all GLC's 5XXXX for governmental funds; 143,648,485.84 (A)  
GLC 539XX for proprietary and fiduciary funds

**Subtract Nonspendable Fund Balance (GLC 56XXX)** 1,404,636.94 (B)

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS 5,915,897.15 (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS 3,782,814.48 (D)

A/P not C/F-Operating Categories (1,238,038.26) (D)

Advances to other funds 450,000.00 (D)

Advances from other funds (200,000.00) (D)

FCO payable (174,000.00) (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 133,707,175.53 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 133,707,175.53 (F)

**DIFFERENCE:** 0.00 (G)\*

**\*SHOULD EQUAL ZERO.**

## RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

**Budget Period: 2017 - 2018**

<b>Department Title:</b>	Department of Highway Safety and Motor Vehicles
<b>Trust Fund Title:</b>	Federal Grants Trust Fund
<b>LAS/PBS Fund Number:</b>	2261

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2016**

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	(61,559.00)	(A)
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Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
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**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # 2-3 Increase Receivable Due From DOT and FEDs	69,664.82	(C)
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SWFS Adjustment # 4 Decrease noncertified payables	(8,105.82)	(C)
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SWFS Adjustment # and Description		(C)
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**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	51,179.86	(D)
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Approved "C" Carry Forward Total (FCO) per LAS/PBS		(D)
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A/P not C/F-Operating Categories	(751,812.45)	(D)
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Advances from Other Funds	(625,000.00)	(D)
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		(D)
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		(D)
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<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>(1,325,632.59)</b>	<b>(E)</b>
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<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>1,325,632.59</b>	<b>(F)</b>
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<b>DIFFERENCE:</b>	<b>0.00</b>	<b>(G)*</b>
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**\*SHOULD EQUAL ZERO.**

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2017 - 2018**

**Department Title:** Department of Highway Safety and Motor Vehicles  
**Trust Fund Title:** Gas Tax Collection Trust Fund  
**LAS/PBS Fund Number:** 2319

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2016**  
 Total all GLC's 5XXXX for governmental funds; (381,756.21) (A)  
 GLC 539XX for proprietary and fiduciary funds

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS 18,278.77 (D)

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

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

(D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** (363,477.44) (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 363,477.44 (F)

**DIFFERENCE:** 0.00 (G)\*

**\*SHOULD EQUAL ZERO.**

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2017 - 2018**

**Department Title:** Department of Highway Safety and Motor Vehicles  
**Trust Fund Title:** Mobile Home and Recreational Vehicle Protection  
**LAS/PBS Fund Number:** 2463

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/2016</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	<b>(422,881.43)</b> (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	<input type="text"/> (B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>	
SWFS Adjustment # and Description	<input type="text"/> (C)
SWFS Adjustment # and Description	<input type="text"/> (C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text"/> (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS	<input type="text"/> (D)
A/P not C/F-Operating Categories	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>(422,881.43)</b> (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>422,881.43</b> (F)
<b>DIFFERENCE:</b>	<b>0.00</b> (G)*

**\*SHOULD EQUAL ZERO.**

# SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE I

For Fiscal Year 2014-15 through Fiscal Year 2019-20



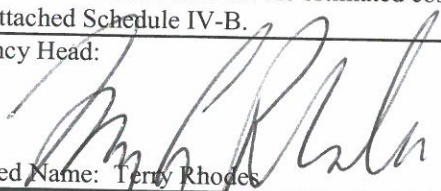
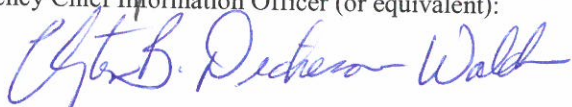
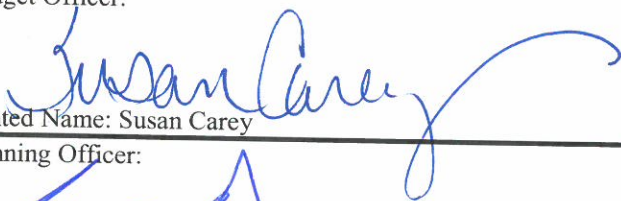
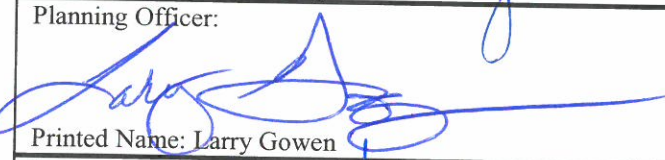
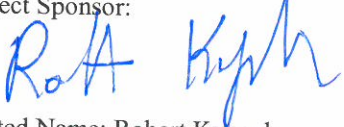
October 2013

Updated: September 2016

**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES**



# Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Highway Safety and Motor Vehicles	Schedule IV-B Submission Date: 10/14/2016
Project Name: Motorist Modernization Phase I	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2017-18 LBR Issue Code: 36115C0	FY 2017-18 LBR Issue Title: Motorist Modernization Phase I
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AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: Terry Rhodes	Date: 10/6/16
Agency Chief Information Officer (or equivalent):  Printed Name: Boyd Dickerson-Walden	Date: 10/5/16
Budget Officer:  Printed Name: Susan Carey	Date: 10/6/16
Planning Officer:  Printed Name: Larry Gowen	Date: 6 Oct 16
Project Sponsor:  Printed Name: Robert Kynoch	Date: 10/6/16
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## Executive Summary

The Department of Highway Safety and Motor Vehicles issues driver licenses and motor vehicle titles and registrations to the residents of Florida. The Department collects an average of \$2.4 billion a year, processing over five million driver licenses and 24.5 million registrations and titles. These revenues are distributed to General Revenue and state trust funds to support critical state services (such as roads and schools), local governments, and nonprofit organizations.

As Florida's credentialing agency, the Department's services are critically important to business and public safety. A state-issued driver license has become the primary form of identification that is used to engage in commerce and establish identity, age, and residency. In addition to issuing driver licenses and registering and titling vehicles, the Department serves as the information technology backbone that supports roadside law enforcement, dispatch for other state law enforcement agencies, and registration for organ donation, voting, and selective service.

The Department relies heavily on technology to manage the volume of transactions and data it must maintain for operations, as well as to connect with various external systems for compliance and efficiency purposes. The current technology environment is complex and difficult to support. Due to changing technology and increased business and customer needs, the current systems are no longer aligned with the business organization and needs. These antiquated systems are not agile enough to allow the Department to quickly respond to the environmental changes it is facing, including:

- **Changing population:** The State's population has increased 20% in the last decade and is projected to increase by an additional 4.8 million by 2030.
- **Changing business model:** Tax Collectors and third party vendors provide many direct issuance activities, and the Department needs to shift its focus to include more monitoring, auditing, and oversight.
- **Changing customer expectations:** The public has become accustomed to e-government and expects products and services to be available immediately online and/or via mobile devices.
- **Changing national expectations:** The Federal Government is more involved in credentialing. Data sharing and information exchange between states are now a major focus of anti-terrorism activities, and states are expected to participate or in many cases risk losing federal highway funds.

Deficiencies in current systems cause strain on information technology resources and business users. Limitations, such as not interfacing with external data sources real-time, are difficult to correct because of overall workload and the complexity of the systems, so the business must develop business processes around system limitations. This has resulted in time spent on activities that the system should handle, like manual error checking for known issues in posting insurance data to driver records. These routine activities take business resources away from functions that can help Florida businesses and enhance public safety.

The Department intends to re-engineer all of the motorist systems in order to better serve and support our customers. The Department has developed a multi-year phased plan to mitigate risks and provide improved functionality over time. The Department proposes a staged re-engineering and redevelopment effort by grouping the planned work into three phases: Driver Licenses, Motor Vehicles, and Licensing and Business Support systems. This proposal is based on research of other states' attempts to replace their motorist systems. Phasing the work lowers overall project risk and provides improved services to our customers in a more timely fashion. Phase one will include the following initiatives:

**Redesign database structure and implement data quality controls.** The Department recognizes the need

to migrate to a customer-centric data model and implement controls to support data quality. By redesigning the database, the Department can eliminate inefficiencies, redundancies, and discrepancies present in the current database and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion. An existing custom built synchronization process will be replaced with a commercially available solution to support legacy data access once the database changes are in place.

**Replace the Florida Driver License Information System (FDLIS) and supporting systems.** FDLIS is a client/server application deployed in the tax collector and driver license offices statewide to support the basic driver licensing process workflow. Data is housed locally and periodically synched to Department databases. This presents several risks as law enforcement is not provided immediate access to changes made to driver records and, in the event of a data-push failure, drivers that believe they are licensed, but in fact do not possess a valid license and will sometimes need to return to an office to resolve the issue. In order to stay interoperable with the changes to the underlying database, the batch processes that maintain DL records and FDLIS must be upgraded in unison.

**Re-engineer the driver and vehicle renewal process.** The renewal notification process has had a significant error rate, requiring reprocessing, reprinting and re mailing notices, which leads to additional costs for the tax collectors and the Department. Additionally, changes in legislation have exceeded the standard size of driver license renewal notifications – requiring the Department to move from a standard postcard mailing to a letter sized form. The Department will re-engineer the renewal notice process and applications to streamline the process.

**Create a MyDMV Portal.** GoRenew.com is the Department’s current self-service portal for motorist services. Also known as “Virtual Office,” it provides limited access to services for motorists. In attempting to establish better authentication practices, ease of use has been significantly impaired. The Department proposes to create a user-friendly “MyDMV” portal that will allow motorists to access more services, allowing citizens to interact with the Department via this self-service portal Phase I will focus on the driver license services, with the intention that motor vehicle services will be addressed in future years.

Phase I will also expand the use of a single Fee Engine across all applications. Over time, different fee calculation routines have been inserted into motorist services systems. The Department now maintains a dozen different fee calculation routines, resulting in months of staff time allocated when fee changes are made. A fee engine was developed as part of the DRIVE program in support of the Electronic Filing System (EFS). The Department plans to utilize this fee engine for all future motorist services development, adding fee routines to it as systems are re-engineered.

It is estimated that implementation of these projects will require \$37 million in funding over five fiscal years. Completion of this phase of Motorist Modernization will allow the Department to improve customer service, meet the needs of the tax collectors performing issuance activities, increase data availability and quality, expand the ability to integrate with business partners and better support public safety.

## I. Schedule IV-B Business Case – Strategic Needs Assessment

### A. Background and Strategic Needs Assessment

#### 1. Business Need

##### **Motorist Services Background**

The Motorist Services program within the Department of Highway Safety and Motor Vehicles supports the issuance of approximately five million driver licenses/identification cards and 24.5 million motor vehicle titles and registrations in Florida annually. These services provide more than \$2.4 billion in State revenues, which is then distributed to General Revenue, the Department of Transportation, the Department of Education, the Law Enforcement Radio Trust Fund, the Department, and others. The Department is a significant revenue source of the state's general revenue funding.

The Department has been issuing licenses and registering vehicles as a consolidated agency since 1969 when the Governmental Reorganization Act combined the Florida Department of Public Safety and the Department of Motor Vehicles, but since that time the Department never combined the two functions. Separate divisions handled driver license issuance and motor vehicle registrations in separate offices using separate computer systems, even though they served the same customers who usually needed both services. Business needs did not dictate that the divisions integrate their data, standardize processes or provide self-service opportunities. Business process ownership and supporting technology operated in silos, and additional system functionality was developed sporadically or hastily in response to legislative mandates.

During the last two decades, critical changing business needs have caused the Department to move to a more integrated motorist services environment. For years, the concept of a "one-stop shop" has been discussed, and the Department has taken steps towards implementing this starting in 1996 when the Department began partnering with county tax collectors to provide some driver license issuance services in addition to titles and registrations. Some improvements to systems were made to increase ease of use by the tax collectors (such as allowing the use of an external cashing system), but the systems were not significantly changed.

The next definitive action started in 2009 when the Department began to merge and centralize various administrative and shared functions and defined a plan to merge the two divisions into one division. The 2010 Legislature approved a plan to migrate most driver license issuance services to the tax collector offices and reduce the number of state-operated driver license offices by 2015. The plan to merge the Divisions of Driver Licenses and Motor Vehicles was effective January 1, 2011.

Numerous applications and processes have been developed over time as required; however the silo (legacy) structure still exists today. In addition to agency systems, the Department has partnered with outside vendors that support different functions associated with driver licenses and motor vehicle titles and registrations. Expanding the Department's partnerships and finding efficiencies in service delivery and re-engineering older legacy systems are core strategies to meeting the Department's strategic goals.

As stated in the Department's strategic plan, the Department seeks to:

- Protect the lives and security of our residents and visitors through enforcement, service,

- and education
- Provide efficient and effective services that exceed the expectations of our customers and stakeholders
  - Leverage technology in the way we do business
  - Build a business environment that regards our members as our most valuable resources

#### Customers/Users

The Department serves more than 15.5 million licensed drivers and the registrants of more than 18 million registered vehicles. These represent the general public, commercial drivers, commercial carrier companies and other entities that own vehicles. Overall, the Department serves more than two dozen types of customers and users representing hundreds of entities:

Customers/Users	Function Performed by Department
Citizens and Businesses	Deliver Motorist Services
Mobile home manufacturers	License business and inspect manufacturing
Other states & jurisdictions	Provide information on driver and vehicle records received in Florida, receive information on driver and vehicle records received outside of Florida, and information exchange related to law enforcement and homeland security
Car manufacturers	License manufacturers in Florida and receive/process Manufacturer Certificate of Origin (MCO) in order to title vehicle
Rebuilt manufacturers	Inspect rebuilt vehicles and issue rebuilt titles if appropriate, allowing vehicles to be sold
Mobile home installers	License installers, inspect installations
Ignition interlock providers	License providers, track program completion and compliance
DUI programs	Approve and monitor DUI programs
Commercial driving schools	Approve applications from owners and instructors
Motorcycle training schools	License and train providers
Researchers	Provide data used for research
Commercial fleet manager / independent owner-operators	Issue Commercial Driver License (CDL), International Fuel Tax Agreement (IFTA) / International Registration Plan (IRP)
Specialty plate entities	Stock specialty tags, process sales, and distribute revenues in accordance with statute. Monitor usage of fees for compliance.
Non-profit Organizations	Distribute voluntary contributions received in accordance with statute
Tax Collectors	Provide equipment, systems, procedures, and data in order to issue driver licenses, title and registration transactions on behalf of the Department in accordance with state laws and policies
Private tag agencies	Provide equipment, systems, procedures, and data in order to issue title and registration transactions on behalf of the Tax Collectors/Department in accordance with state laws and policies
Car dealers	License dealers to do business in Florida

<b>Customers/Users</b>	<b>Function Performed by Department</b>
Electronic Filing System Vendors	Support use of an interface for dealerships to have real time access to vehicle registration and title information from the Department
Commercial data purchasers / entities with Memorandums of Understanding with the Department	Provide/Sell data
Other Federal, state and local entities, e.g.: <ul style="list-style-type: none"> <li>• Florida Department of Revenue</li> <li>• Florida Department of Business and Professional Regulation</li> <li>• Florida Department of State</li> <li>• Federal Department of Transportation/ Motor Carrier Safety Administration and Federal Highway Administration</li> <li>• Social Security Administration</li> <li>• Federal Department of Homeland Security (DHS)</li> </ul>	Perform data exchange
Selective Service Administration	Register people eligible for the draft
Donate Life Florida	Register people for organ donation
Supervisor of Elections	Provide voter registration information
Courts	Enforce sanctions or judgments
Department of Revenue/Children of noncustodial parents	Suspend driver licenses of noncustodial parents that do not meet their court-ordered child support obligation
Florida Highway Patrol / Law enforcement	Provide access in order to lookup identity information and other information related to maintaining public safety
Florida Department of Law Enforcement	Report changes of address for offenders
Department Vendors (e.g., PRIDE, etc.)	Provide commodities, equipment, and/or services
American Association of Motor Vehicle Administrators (AAMVA)	Perform data exchange related to driver license and motor vehicle information
IFTA / IRP Inc.	Perform data exchange related to International Fuel Tax Agreement (IFTA) / International Registration Plan (IRP), which distributes fuel use taxes and registration fees to jurisdictions based on use
Electronic Lien and Title Vendors	Support use of an interface for financial institutions to have real time access to vehicle registration information
Insurance Companies	Perform verification of driver insurance information

Table 1-1 – Customer/Users

### Statement of Need

Overall, the Department needs to reconfigure its legacy technology infrastructure in order to support its merged service environment. Until that is accomplished, the Department will be forced to implement additional workarounds and maintain those workarounds, which is a significant risk. The Department will be at risk of not meeting federal and legislative mandates because the systems and their workarounds are simply not able to perform a function.

The current technical environment consists of eight major systems supported by seven different database repositories, 47 web applications and thousands of batch jobs, batch programs and stored procedures. These programs and procedures update, print, or transfer driver license or motor vehicle data, or pull data from external sources. Figure 1-1 provides a graphical overview of the different entities that access department systems and data:

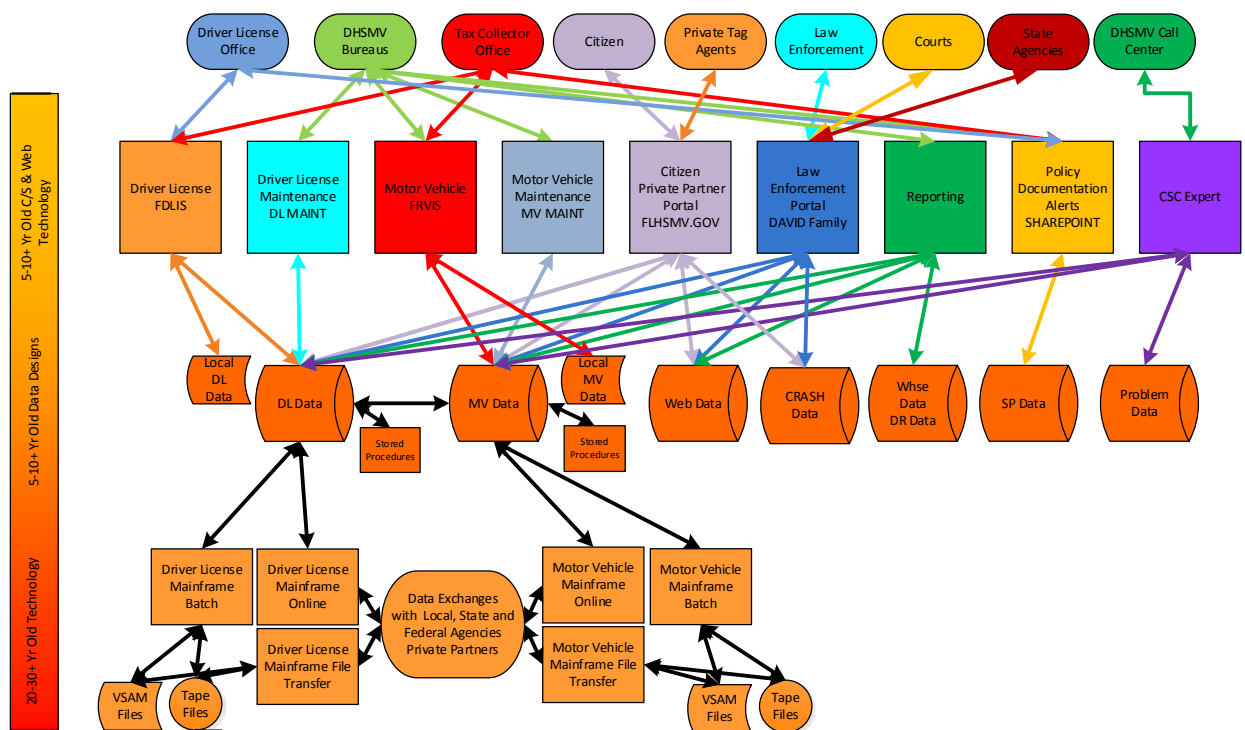


Figure 1-1 – Current Technology Environment

The complexity, design, and age of these software components creates inefficiencies and challenges in supporting and maintaining the environment, which in turn present significant risks. The inefficiencies and challenges of the current technical environment include:

- Multiple systems and data architecture creates complexity which introduces errors;
- Implementation of changes and bug-fixes is difficult and time consuming – currently there are over 400 change requests;
- Difficulty integrating software packages;
- Difficulty locating and retaining staff with the necessary skill sets;
- Increased support, maintenance, and contractor costs, and
- Difficulty providing data security and data integrity.



Some of these technological challenges affect the Department’s Information Systems Administration (ISA) capacity to be responsive to businesses’ requests for new or modified functionality, while others cause direct risks to the business including:

- Risk to public safety;
- Risk of non-compliance with federal and state mandates;
- Risk of increased operating costs;
- Risk of uncollected or delayed revenue, and
- Risk of reputational injury.

The relationship of the technical risks to the business risks can be summarized as follows:

		Business Risks					
Technology Challenges		Risk to public safety	Risk of non-compliance	Risk of increased operating costs	Risk of uncollected or delayed revenue	Risk of reputational injury	Affects overall capacity of ISA
	Increased support, maintenance and contractor costs			✓			✓
	Difficulty locating and retaining staff with necessary skill sets		✓	✓			✓
	Distributed data storage complexity which introduces errors	✓		✓	✓	✓	
	Difficulty fixing bugs or implementing changes	✓	✓	✓	✓	✓	✓
	Difficulty integrating software packages	✓	✓	✓	✓	✓	

Table 1-2 – Technology Challenges/Business Risks

Without re-engineering and simplifying the current environment, the Department will continue to face:

- Risk of end-of-life system failure
- Risk of a rigid infrastructure and lack of scalability and flexibility to support future growth or changing legislative mandates
- Risk of being unable to support the current data model
- Potential of missed revenue from an inability to audit functions that present opportunities for non-compliant activity
- Risk that data needed by law enforcement to enforce public safety (e.g., identification of sexual predator status) will be unavailable or inaccurate
- Risks that drivers will not be properly sanctioned
- Risk of not being able to report the activities of the Department effectively because of discrepancies in data between multiple systems
- Criticism from tax collectors and tag agents wanting to eliminate redundancies and inefficiencies in their organizations stemming from the legacy systems used by the Department

## 2. Business Objectives

The goal of Motorist Modernization is to remove the technical barriers that prevent the Department from effectively meeting its obligations. This goal is split into eight implementable objectives that are closely aligned with the applicable DHSMV strategic goals.

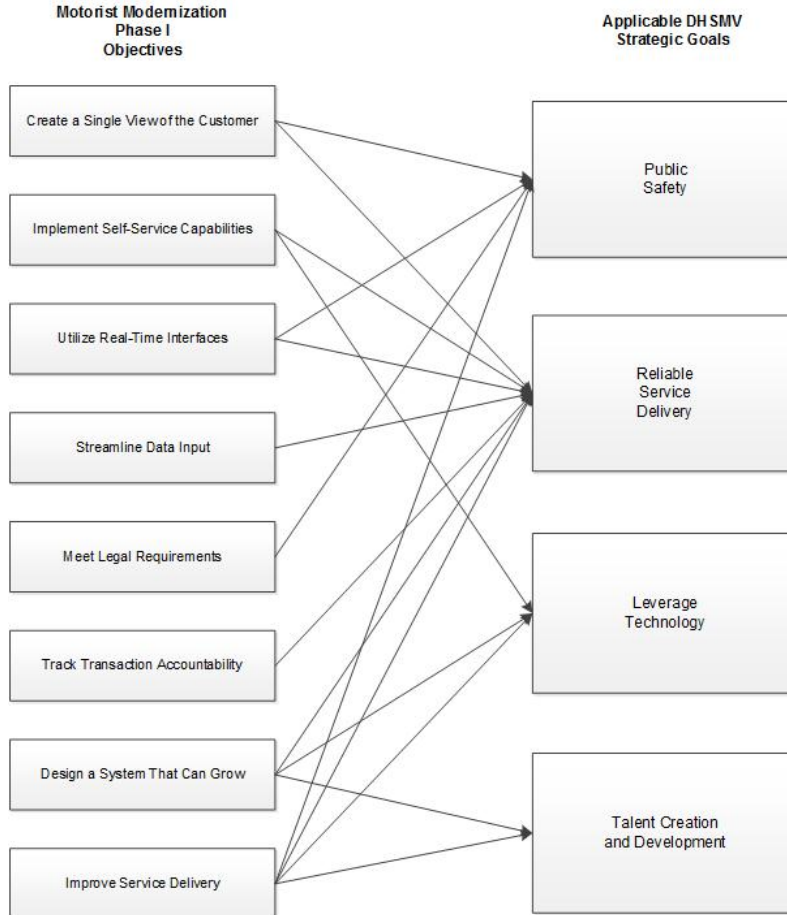


Figure 1-2 – Objectives and Strategic Goals

### a. Objective 1: Create a Single View of the Customer

The new issuance system should provide the ability to see or link to all of the information the Department stores about a customer from one location. Today, information on an individual might be stored in many systems, and sometimes in multiple locations within a single system. Having a single view will help alleviate current risks that instances of non-compliance are not caught or revenue is not collected. It will also reduce processing time and opportunity for entry error by reducing redundant data keying and will support the tax collectors' requests for a consolidated view.

### b. Objective 2: Implement Self-Service Capabilities

Self-service should be supported for the public, for external reporting requests, data sales, and for internal reporting purposes. Processes to initiate transactions, request reports and / or capture performance data are largely manual and rely on interaction with the technology group.

**c. Objective 3: Utilize Real-Time Interfaces**

Simplify or eliminate processes by establishing real-time lookup or data exchange relationships with third-party data providers. Currently, interfaces are manual or batch processes, which experience delays, do not always finish processing overnight, and are the least accurate method of processing. These overnight processes also result in multiple interactions with the same customer which increases expense and customer frustration.

**d. Objective 4: Streamline Data Input**

Streamlining processes to reduce duplication and/or to reuse existing data will assist in reducing data errors – created through either duplicate data entries or typographical errors. The reduction or elimination of any paper documents currently in use will also help streamline processes and reduce errors.

**e. Objective 5: Meet Legal Requirements**

The Department is subject to numerous state and federal legal requirements, in addition to public expectations regarding data privacy and security. The current environment has security risks due to its age and underlying architectures. Data integrity is also a risk due to the potential for data entry errors. Also, the batch processes are susceptible to timeouts and incomplete file transfers. Overall, the complexity of updating the current system restricts the ability of the Department to meet new mandates as laws and rules change.

**f. Objective 6: Track Transaction Accountability**

Now that the Department has completed its transition of most driver license (DL) issuance activities to tax collectors, the functions retained will refocus on a monitor and oversight role, rather than in-office delivery. Performing this role effectively will require the ability to track transactions executed by others on behalf of the Department. This takes several areas into consideration, including auditing within the application, establishing policies related to authentication credentials expectations and developing more robust error or exception reporting. Auditable data is not commonly captured by the system today, causing challenges with revenue reconciliation, error correction and issue resolution.

**g. Objective 7: Design a System that Can Grow**

It is important that the Department implement a system that is flexible and expandable. The Department exists in a highly regulated environment with rules that change frequently, and sometimes without much notice. A system that utilizes modern architecture and components such as configurable parameters and rules-based logic will better position the Department to locate and retain technical resources with the right skill sets and stay responsive to the needs of State and federal lawmakers.

**h. Objective 8: Improve Service Delivery**

System performance is critical to improving service delivery. The new system must:

- Operate reliably during scheduled business hours and provide real time communication to stakeholders when outages occur.
- Support Motorist Service business processes and functions and align them with the appropriate technologies.
- Support multiple service delivery channels and the DHSMV staff, tax collectors, and other entities and agencies' personnel that access the system.
- Safeguard private information and manage data securely to ensure public trust.

Because the environment is so complex, the Department proposes a staged re-engineering and redevelopment effort by grouping the planned work into three phases: Driver Licenses, Motor Vehicles, and Licensing and Business Support systems. This proposal is based on research of other states' attempts to replace their motorist systems. Phasing the work lowers overall project risk and provides improved services to our customers in a more timely fashion. Phase one will include the following processes and systems:

**Redesign database structure and implement data quality controls.** The Department recognizes the need to migrate to a customer-centric data model and implement controls to support data quality. By redesigning the database, the Department can eliminate inefficiencies, redundancies and discrepancies present in the current database implementations and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion. An existing custom built synchronization process will be replaced with a commercially available solution to support legacy data access once the database changes are in place.

**Replace the Florida Driver License Information System (FDLIS) and supporting systems.** FDLIS is a client/server application deployed in the tax collector and driver license offices statewide to support the basic driver licensing process workflow. In order to stay interoperable with the changes to the underlying database, the batch processes that maintain DL records and FDLIS must be upgraded in unison.

Operationally, data is housed locally (in tax collector and department offices statewide) and periodically synched to Department databases. This presents several risks as law enforcement is not provided immediate access to changes made to driver records and, in the event of a data-push failure, drivers that believe they are licensed but in fact do not possess a valid license and will sometimes need to return to an office to resolve. Law enforcement and other agencies, such as Department of State (DOS), Department of Children and Families (DCF) and the Florida Department of Law Enforcement (FDLE) depend on this supporting documentation – mainly the images of customers that are taken when a license is issued. For example, FDLE uses the driver license image and data for sexual predators, sexual offenders and habitual offenders. DOS also uses this data to process and validate addresses for voters.

**Re-engineer the driver and vehicle renewal process.** The renewal process is extremely complex, requiring some manual intervention in order to operate. It is not without failure issues, which leads to additional costs for the tax collectors (who administer the vehicle renewal process) and the Department (which supports both renewal processes and administers the driver license renewal process).

The Department has experienced a number of issues which include incorrect fees and invalid data on the actual renewals. The validation of the renewal data is very tedious, which includes a manual verification of sample data prior to the data being sent to the vendors that print renewals notices on behalf of the county tax collectors and the Department. More often than not, the notices must be reprinted after errors are discovered. Unfortunately, many mistakes are found only after the notices are mailed to customers who have tried to complete their renewal process. The Department will re-engineer the renewal notice process and applications to streamline the process.

**Create a MyDMV Portal.** GoRenew.com is the Department's current self-service portal for motorist services. Also known as "Virtual Office," it provides limited access to services for

motorists. In attempting to establish better authentication practices, ease of use has been significantly impaired. The Department proposes to create a user-friendly “MyDMV” portal that will allow motorists to access more services, allowing citizens to interact with the Department via this self-service portal instead of having to go to a tax collector or state office. Phase I will focus on the driver license services, with the intention that motor vehicle services will be addressed in future years.

Phase I will also expand the use of a single fee engine across all applications. Over time, different fee calculation routines have been inserted into motorist services systems. The Department now maintains a dozen different fee calculation routines, resulting in months of staff time allocated when fee changes are made. As part of the Driver Related Issuance and Vehicle Enhancements project (DRIVE), the Department has developed a fee engine that will support the Electronic Filing System (EFS) as well as all future motorist services development, adding fee routines to it as systems are reengineered.

Implementation of Motorist Modernization Phase I will allow the Department to improve customer service, meet the needs of the tax collectors performing issuance activities, increase data availability and quality, expand the ability to integrate with business partners and better support public safety.

## B. Baseline Analysis

The Department of Highway Safety and Motor Vehicles is composed of 4 major areas:

- Administrative Services/Executive Direction
- Florida Highway Patrol
- Motorist Services (Comprised of the former Driver Licenses and Motor Vehicle Divisions)
- Information Systems Administration (ISA)

Motorist Services’ responsibilities include credentialing drivers through the issuance of driver licenses, credentialing vehicles through the issuance of titles and registrations, and overseeing related compliance programs. Responsibilities also include investigating and resolving consumer complaints, inspecting and titling rebuilt vehicles, registering and auditing Florida-based commercial carriers, data exchange and reporting, and helping ensure manufactured or mobile homes are constructed and installed in compliance with federal and state standards. Specific activities include enforcing insurance coverage requirements, overseeing the state’s DUI education programs, records exchange, and reporting. ISA is responsible for providing information technology resources to assist the operational areas in accomplishing the Department’s mission and goals. It accomplishes this through acquisition of computer equipment, software and services, software development, system installation and maintenance, network administration, computer operations, and desktop support.

The Department touches nearly every household in Florida through credentialing and public safety activities and plays a significant role within the Florida state government. In addition to issuing driver licenses and registering and titling vehicles, the Department has become the information technology backbone that supports roadside law enforcement, dispatch for other state law enforcement agencies, organ donation registration, voter registration, and selective service registration processes. Since September 11, 2001, the Department, through systems such as the Commercial Vehicle Information System Network, has participated in Federal and state information sharing efforts in support of securing the homeland to help fight terrorism and

reduce fraud. Also to this end, the Department became one of only a handful of states to be in compliance with federal Department of Homeland Security REAL ID credentialing requirements. In achieving this status, the Department became the “authoritative source” of identity for all Floridians. The Department is a \$2.4 billion business which collects revenue and distributes the funds to other state agencies that provide critical state services such as roads and schools.

Many of the systems currently being used were developed when the business and the environment of the Department were very different. Up until the late 1990s the Division of Driver Licenses and the Division of Motor Vehicles, although sharing a common customer base, shared little else. Business needs did not dictate that either of the divisions integrate their data, standardize processes or provide self-service opportunities. Business process ownership and supporting technology operated in silos, and additional system functionality was developed sporadically or when legislative mandates required such.

During the last two decades, however, critical changing business needs have caused the Department to move to a more integrated motorist services environment. This shift has resulted in the January 2011 merger of the two divisions into the Division of Motorist Services. While the organizational structure has changed, the Department’s vision for an integrated approach to servicing its customers and stakeholders will not be realized until the technical barriers to integration are removed.

The evolution of the systems over time have led to a complex technical environment that is multi-layered, using numerous technologies and requiring many people and skill sets to maintain. There are more than 30 different platform and database environments and programming languages that must be supported by technical staff. Many of the modification requests and projects require changes across the numerous platforms which increase the duration of project implementation and the possibility of system(s) failure. Frequent new federal statutes or state statute, rule and fee changes generate requests and projects to modify the systems and add to the technical complexity. Lack of integration prohibits the ability to show “a single view of the customer” resulting in service obstacles for tax collectors. Lack of real-time interfaces elongates completion of business transactions and drives inefficiencies in other functional areas of the Department.

Motorist Modernization Phase I will enable the Department to implement and utilize newer technologies to better serve the stakeholders and citizens of Florida. Upon removal of the technical barriers, the Division of Motorist Services and its agents will be able to provide better service to the public by offering a broader array of services online as well as allowing employees to access data and provide service through a single unified system. In addition, the Department will be able to use the planned system in its oversight role with the tax collectors.

Merging the driver license and motor vehicle systems will allow the Department to better audit transactions conducted by a county/state employee who is currently working in two systems while conducting transactions for a single customer. A more streamlined audit function should allow the Department to see and react to unusual transaction occurrences more quickly. In summary, the end result of successful implementation will enable the Department to increase customer service, allow cost reductions through economy of scale, develop reusable application software and examine business processes to look for opportunities for greater efficiencies.

## 1. Current Business Process(es)

The current business processes below are grouped into four main areas: issuance, maintenance, enforcement and revenue collection and distribution. The primary focus of the

Motorists Modernization Phase I program concentrates heavily on the Driver License/ID issuance process as well as the notification processes for motor vehicle and driver license renewals. This will consist of the customer-facing and the back-end components, which include associated batch mainframe systems.

**a. Issuance**

*Issuance Background*

The purpose of issuance activities is to assign a privilege to a customer based on meeting certain criteria. The process involves verifying and validating an applicant's documents and test results against proscribed (state/federal) criteria, capturing records, collecting fees and issuing a credential. There are three major types of issuance activities that take place in State operated facilities, tax collector offices and private tag agency locations, and car dealerships throughout the state. Issuance fees account for the largest source of revenue in the Department and are tied to federal transportation funding for Florida.

The basic processes for the three categories of issuance are the same, but are administered separately. Silos in business ownership and supporting technology mean the workflow and approach is not standardized, and information is stored in multiple locations. Examiners responsible for executing the issuance process must log on to multiple systems (each with different credentials), enter data multiple times, as well as check multiple interfaces for critical flags. Issuance requires starting in one application, exiting to process in two or three others, and then re-keying results into the first application.

The three areas of issuance activities are:

- Driver license (which includes identification cards)
- Motor vehicle titles and registrations
- International Fuel Tax Agreement (IFTA) licenses and International Registration Plan (IRP) registrations

**1) Driver License Issuance Services**

*Driver License Issuance Overview*

Driver license issuance includes driver license classes A, B, C & E, identification card issuance, renewals, replacements, and reinstatements. The process includes verification of identity, residency, knowledge, and skills ability for initial issuance and some lesser number of these requirements for renewals, replacements reinstatements, and clearances. Requirements vary based on citizenship, lawful presence (U.S. legal status), and type of license. Driver license issuance also includes applicant consent for participation in various state and federal programs including, but not limited to, Motor Voter Act, Organ Donor, Selective Service, and Emergency Contact Information. In addition, customers may make voluntary contributions to various organizations. The credential issued contains the eligibility, restrictions, privileges, endorsements, and/or program participation for the respective applicant and serves as the identity verification document.

Driver license (DL) issuance functions include the following transactions:

- ID card for U.S. citizen
- Renewal/replacement ID card for U.S. citizen
- ID card for foreign national (immigrant or non-immigrant)

- Renewal/replacement ID card for foreign national (immigrant or non-immigrant)
- Transfer out-of-state license to Florida – U.S. citizen
- Driver license renewal for U.S. citizen
- Original Florida license - never licensed before – U.S. citizen or foreign national (immigrant or non-immigrant)
- Replacement license for U.S. citizen
- Transfer out-of-state license - foreign national (immigrant or non-immigrant)
- Driver license renewal - foreign national (immigrant or non-immigrant)
- Replacement license for foreign national (immigrant or non-immigrant)
- Clearances: court clearances, child support sanctions; financial responsibility sanctions; cancellations for foreign nationals with document issues;
- Clearances: suspensions, revocations, disqualifications and cancellations requiring additional knowledge skills and abilities
- Clearance of sanctions (e.g. DUI)
- Commercial driver license (CDL)/hazmat endorsement with fingerprinting
- Registration of sexual offenders, sexual predators, and career offenders
- Medical and five day letter re-exams
- Adding/removing endorsements and restrictions from licenses
- Written exams - CDL or regular license class

**a) Driver License Issuance (first time, U.S. citizen, and foreign national)**

*Driver License Issuance Description*

First time driver license issuance is the process of a U.S. citizen or foreign national (immigrant or non-immigrant) applying for a first-time Florida driver license and either being issued a permanent or temporary license.

*Driver License Issuance Process Steps*

**Determine Applicant Eligibility**

For U.S. citizens, if mandated documentation is present and deemed authentic, information is captured in FDLIS for automatic checks with the Problem Driver Pointer System (PDPS), Social Security Administration (SSA), Commercial Driver License Information System (CDLIS) and Driver License Production Database. Several of these checks go through the American Association of Motor Vehicle Administrators (AAMVA).

For foreign nationals, if mandated immigration documentation is present and deemed authentic, information is captured in FDLIS and transmitted to Department of Homeland Security for verification and approval via the Verification of Lawful Status (VLS) system.

**Applicant Screening**

A transaction type is selected for eligible applicants, a photo is taken, a mandatory eye test is administered using OPTIC1000, and applicant signature is obtained using signature pad and stylus. Identification and residency documents are scanned and electronically attached to the applicant's record. Applicant screening and personal information questions are asked with responses entered in designated boxes on FDLIS issuance screens. Affirmative responses to various questions require additional information to be provided and entered (e.g., has your driving privilege ever been denied in another state?



If yes, what state and why?). Additionally, affirmative responses to several questions require entering information on a separate screen (e.g. sexual predator/sexual offender address) and, in one instance, requiring duplicate entry of personal identifiable information on a separate screen (Motor Voter). If applicant is a male between certain ages, selective service information is also captured and batched for transmission to the Selective Service Administration.

#### **Exam Data Entry**

Applicant is then directed to a work station to access the Automated Driver License Testing System (ADLTS) to take a written exam. The results are manually fed into the applicant record in FDLIS. The applicant is then tested behind-the-wheel, having first shown proof of vehicle registration and insurance. The results of the behind-the-wheel test are entered into a log and then into FDLIS. If it is a CDL issuance, special edits and endorsements (e.g., hazmat) may be required, and the behind-the-wheel test is taken at either a vendor location or State-operated sites. If any applicant tests were taken at a vendor location, a separate web application must be accessed to obtain and print results and then manually enter the results into the applicant's record in FDLIS.

#### **Functional Processing/Capture Records**

Applicant's restrictions (such as "corrective lenses) and endorsements (such as "hazmat") are captured on the license form as well as type and class. Obtain any additional information as required for restrictions/endorsements. Review the transaction and have applicant attest that information is true.

#### **Revenue Collection/Update/Issuance**

The cashiering system is accessed. This system differs dependent upon whether the transaction is taking place in a State-operated facility or a tax collector office. If it is a State-operated facility, the clerk goes to FDLIS cashiering. Within the tax collector offices, systems differ depending on whether the tax collector has consolidated their motorist services and tax transactions and on which vendor system they operate. Voluntary contribution information endorsements and license class are entered. Fees are determined for the transaction and, if applicable, service fee is calculated. If the applicant is a U.S. citizen, the driver license is printed. If the applicant is a foreign national, a 30-day temporary driving license form letter is printed. (Note: if an applicant would like to register a vehicle in addition to receiving a driver license, tax collectors must log out of FDLIS and then log in to FRVIS. Unless the tax collector has a consolidated cashiering system, the customer must pay separately for each item.)

#### Stakeholders

- DL applicants
- Tax Collectors
- DHSMV Motorist Services staff
- Florida and out-of-state law enforcement entities
- Federal Departments of Homeland Security, Transportation/Federal Motor Carrier Safety Administration, Social Security Administration
- Florida Motorists
- Florida Governor's Office and other Florida state, county and city governmental agencies (e.g., supervisor of elections)
- Other state driver licensing entities

- Private schools/businesses providing driver related services (e.g., driving schools, DUI programs)
- Driver safety focused organizations (e.g., Mothers Against Drunk Driving (MADD))
- Vendors that provide driver license equipment
- General public
- Lenders/Lienholders
- Insurance companies
- AAMVA

#### Interfaces

- FDLIS - client server application enabling basic driver licensing process workflow and storing specific driver license information, (e.g., vision and skills test results)
- Cogent - application used for commercial driver licenses to store fingerprint images on file/print server
- Capture/Inventory System - used to scan and capture driver signature and picture and track inventory card stock for printing licenses
- FDLIS Cashiering System - in State-operated facilities and various systems in tax collector offices
- Camera System - takes/develops driver license or ID card photos
- Scanners - scan and electronically attach paper documentation to applicant files
- Automated Driver License Testing System (ADLTS) - application for driver license written testing, scoring and storing results
- Optic1000 - for eye exams
- Card and Cashier printer
- Online Appointment Service and Information System (OASIS) - web-based application used to display and record DL appointment and time
- Q-Matic- in-facility/office queuing management system
- Signature Pad with Stylus for DL applicant signature
- Verification of Lawful Status - via the AAMVA Network
- National Driver Registry - via the AAMVA Network
- Social Security Administration - via the AAMVA Network
- Commercial Driver License System (CDLIS) - via the AAMVA Network
- DL database checks for applicant record, duplicate social security numbers
- NLETS - National Law Enforcement Telecommunications System

#### Inputs

- Paper identification documents (e.g., birth certificate, social security card)
- Paper proof of residence documents (e.g., voter registration card, vehicle registration, letter with home address)
- Proof of insurance, medical letter
- Clearance for sanctions and other enforcement actions
- These paper documents are manually scanned and electronically attached to the applicant's driver record

- Applicant pictures manually taken using Capture and electronically attached to the applicants driver record
- Existing driver records/information is electronically accessed on FDLIS to verify completion of mandatory requirements, enforcement action or sanctions
- Acknowledgements of completion of Driver Education and/or Drug-related courses are accessed from a website and printed and then data entered into FDLIS
- Driver License Manual is accessed from PartnerNet /SharePoint

#### Outputs

- Driver license and identification card through Capture
- Driver record generated in FDLIS
- Letter authorizing driving privileges for a temporary time period for foreign nationals/immigrants through FDLIS
- Customer transaction financial receipts through FDLIS cashiering process and cashier printer
- End of Day Reports through FDLIS

#### Driver License Issuance Challenges

##### Current Technical Challenges

- FDLIS lacks real-time interfaces with many of the third-party systems used in issuance. This leads to the need for the development of manual workarounds. For example, manual processes have been developed to compensate for the lack of real-time data. There are large dependencies on external webpages to access necessary information. Scanned documents take a day to show up in the customer's records. (This is dependent on end-of-day uploads to servers.)

## **b. Driver License Record Maintenance**

#### Record Maintenance Background

The Department not only provides issuance and enforcement functions for the State, but is also an information source for many entities. The data in these records is relied upon by many functions and user groups in the following ways, among others:

- It is the foundation for other driver- or vehicle-related functions (such as sanctions);
- It is used by many organizations to establish identity and/or residency;
- It is used by law enforcement to establish identity;
- It is relied upon for public safety, and
- It is provided to many outside entities for a fee, which generates revenue for the State.

Maintaining current records is an important consideration for the Department.

### **1) Driver License Record Maintenance**

#### DL Record Maintenance Overview

Driver licenses are the authoritative source of identity. The Department is responsible for issuing driver licenses and for maintaining the underlying driver

records. Driver records must reflect current personal information, driver status, compliance with insurance requirements, and many other pertinent pieces of information. As such, keeping up-to-date driver records involves many processes across the organization. In addition to issuance, the Department collects driver data which includes organ donor registration and emergency contact information. The Department must also track drivers' violations of laws and other requirements that can affect driver license status.

Updating information is received from a number of different external and internal sources:

**Internal Sources:**

- Initial issuance information is gathered and utilized to either create original driver records or update existing records and includes: driver's personal information such as name, DOB, address, Motor Voter registration, organ donor registration, emergency contact information, and sexual predator/offender registration, and
- Information regarding compliance with required education requirements such as motorcycle training, DUI intervention programs, and the Ignition Interlock Device (IID) program as tracked and maintained by Driver Education staff.

**External Information:**

- Sexual offender, predator, and career offender information, crash information and re-exam requirements received from law enforcement agencies;
- Drivers' insurance coverage information received from insurance companies and processed by the Financial Responsibility unit to verify compliance with minimum coverage requirements and impose sanctions, if necessary;
- In-state driver citations and sanctions received from the Clerk of Court, entered by DL Records staff, and reviewed by Driver Improvement staff;
- Out-of-State citations and sanctions received from other jurisdictions and manually entered into driver records by Clerk of Court and DL Records staff and reviewed by Driver Improvement staff;
- Out-of-State CDL citations and sanctions received from the CDLIS system maintained by AAMVA;
- Child support and genetic testing information resulting in driver sanctions received from Department of Revenue or the courts and entered into driver records by DL Records staff;
- Death files received from the Social Security Administration and Vital Statistics;
- Address change information received from the United States Postal Service; and
- School attendance information received from the Department of Education.

**a) Driver License Records - Citations and Sanctions**

*Citations and Sanctions Background*

The sanction update process is the mechanism in place for ensuring that violations of State laws by Florida drivers are tracked, appropriate consequences are imposed, and sanctions are cleared as remedial actions are performed by the driver. Once input into driver records, sanction information is accessed by the Driver Improvement staff, reviewed, and then used to generate letters sent out to Florida drivers to communicate sanction information and requirements that must be met to remediate sanctions imposed.

Citations and Sanctions Overview

DL Records staff are responsible for entering citations and sanction obligations into the appropriate Florida driver record when received from the Clerk of Court and from other jurisdictions. In-state citations are standardized, and the Department is responsible for printing, issuing, and tracking inventory for the uniform traffic citation form used by most law enforcement agencies when issuing traffic citations. When issued, citations are entered by the Clerk of Court into the Traffic Citation Accounting Transmittal System (TCATS). From there, the Department is responsible for updating driver records to reflect the citation(s) issued. In addition to citations, the Department updates driver records to include sanction information, as provided by the county Clerk of Court. Once entered into driver records, the Department's Driver Improvement staff review the citations and sanctions and send notification of the action and remedial requirements to the affected drivers, if necessary. When requirements have been met to regain privileges, driver records must be updated to reflect compliance. Compliance information is received from outside entities such as county Clerks of Court or internally from the Department.

In 2015, Florida law enforcement agencies issued 3,387,909 citations. The bulk of these citations were entered into Florida driver records through the electronic TCATS process; however manual entry is performed for citations and sanctions received from out-of-state jurisdictions. Manual entry is also performed for clerk data errors or system limitations in accepting unique data requirements for citations and sanctions issued by law enforcement within the State of Florida.

Once this information is received by the Department, the data must then be input into the appropriate driver records by an automated or manual process, depending upon the format of the source data.

**In-state Citations**In-state Citations Description

This is the process of updating driver records to contain information regarding uniform traffic citations issued to Florida drivers by Florida law enforcement agents.

In-state Citations Process Steps

The citation update process begins with the issuance of citation inventory to Florida law enforcement agencies. Uniform Traffic Citations (UTC's) are distributed utilizing the Citation Tracking System in the Motorist Maintenance system, then law enforcement agencies either use hard copy UTC's or electronic citation numbers as assigned to issue citations to drivers violating State laws. Upon issuance, law enforcement officials have 10 days to provide a copy of the issued UTC to the appropriate Clerk of Court. The Clerks then import or manually enter UTC information into the TCATS system. The Clerks send citation files to the Florida Court Clerks and Comptrollers (FCCC) to run an error report to ensure that the data is in the correct format. Once the citation information has been through the FCCC error check process, it is transmitted by a batch process to the Department nightly. There are two error checks performed by the Department before the citation information can be processed to a driver's record. First, an error check is run to make sure the data follows the

Department's format requirements. If there are issues in the records, the records are sent back to TCATS for resolution. If there are not any errors in the first error check, the data is run through an inventory validation check to make sure that the citation number is valid and corresponds to the entity that was issued that citation number originally. If there are issues noted in this error check, the citation must go through a manual resolution process carried out by Department staff. If there are no issues in both error checks, the citation is attached to the corresponding driver's record through an automated process. Once citation information is included in driver records, the Driver Improvement staff reviews the citation and sanctions information. A communication is then sent to the driver detailing the consequences and necessary actions.

### **In-State Sanctions**

#### *In-state Sanctions Description*

This is the process of updating driving records to contain sanctions issued against Florida drivers by Florida County Clerks of Court.

#### *In-state Sanctions Process Steps*

The non-citation sanction update process begins with the issuance of sanctions in the form of court orders from the county Clerks of Court.

Court orders are provided to the Department by Clerks of Court in either hard copy by mail or fax or soft copy via email. When sanction information is received, DHSMV DL Records staff must manually enter the sanction information into the Motorist Maintenance system. The documents are received, scanned, and stored at the Department. Once sanction information is included on driver records, the Driver Improvement staff then review sanction information and send communication to the driver detailing the consequences and necessary actions.

In addition to court ordered sanctions, the Clerks of Court also provide the Department with criminal financial responsibilities such as court costs owed to the State by convicted criminals. This information is provided by Clerks either in hard copy or in an electronic file via email. Hard copy criminal financial responsibility information received must be entered into the driver record manually by DL Records staff. If sent electronically, Clerks provide a flat file containing criminal financial responsibility information to the Florida Court Clerks and Comptrollers association (FCCC) to be submitted to DHSMV.

### **Out-of-state Citations & Sanctions**

#### *Out-of-state Citations & Sanctions Description*

This is the process of updating driving records for Florida drivers to reflect sanctions issued against drivers by out-of-State jurisdictions.

#### *Out-of-state Citations & Sanctions Process Steps*

The out-of-state sanction and citation update process begins with the issuance of sanctions by jurisdictions outside of the State of Florida. Sanction or citation information for individuals is provided by other jurisdictions in either hard copy by mail or fax or soft copy via email. When sanction or citation information is received, DHSMV DL records staff must manually enter the sanction information

into the Motorist Maintenance system. Once sanction or citation information is included in driver records, Driver Improvement staff then review the information and send communication in the mail to the driver detailing the consequences and necessary actions.

### **Out-of-state CDL Sanctions and Citations**

#### Out-of-state CDL Sanctions & Citations Description

This is the process of updating driving records for commercial drivers to include sanctions and citations issued to CDL drivers licensed in Florida by out-of-state law enforcement agents or judicial systems.

#### Out-of-state CDL Sanctions & Citations Process Steps

Out-of-state citations and sanctions issued by law enforcement or courts in other jurisdictions to commercial drivers licensed in the State of Florida are provided to the Department electronically. Each jurisdiction is required to provide sanction and citation information for CDL drivers to CDLIS, which is maintained by AAMVA. The CDLIS system provides real-time data to the Department when citations and/or sanctions information is received. The Department then runs a batch process to apply the citation or sanction information to the driver's record within the driver database.

### **Sanction Resolution Process:**

#### Sanction Resolution Process Description

This is the process of updating driving records to clear sanctions when the appropriate requirements have been met by drivers.

#### Sanction Resolution Process Steps

If requirements are met by the driver within the given time frame, the Clerk of Court enters the clearance information into TCATS, which then follows the process described above where the clearance information is automatically uploaded to the corresponding driver's record. This completes the sanction update process.

If requirements are not met within the given time frame, the Clerk of Court enters suspension information into the TCATS system, which then follows the process described above to be uploaded to the corresponding driver's record. Once suspension information is included in the driver's record, Driver Improvement staff handles further processing. If the driver complies with requirements prior to the effective date assigned by Driver Improvement staff, the sanction is canceled.

For "failure to comply", the driver can go into a Clerk's office and pay the necessary fine(s) and/or demonstrate that other requirements were met. The Clerk then enters clearance information into their information system, the Comprehensive Case Information System (CCIS). This process clears the driver's record and can be performed while the driver is at the counter in the Clerk's office.

If the suspension was due to a criminal financial obligation, the Clerk cannot clear the record within the CCIS system. In these instances, the driver can either

go to a DHSMV or tax collector office for instant clearance or the clerk can enter the clearance information into TCATS. Entry into TCATS must go through a batch process to update the driver record with clearance information. Because of this lag in clearance, drivers usually go to a DHSMV or tax collector office where clearance information can be entered directly into the driver’s record through FDLIS. If the clearance information is entered at the tax collector’s office, the driver also incurs an additional reinstatement fee.

Stakeholders

- General public
- Florida drivers
- Law enforcement
- Florida Court Clerks and Comptrollers
- Other jurisdictions
- ISA
- DL Records staff
- AAMVA
- Tax Collectors

Interfaces

- FDLIS
- Traffic Citation Accounting Transmission System (TCATS)
- Motorist Maintenance
- Driver Uniform Ticket (DUT)
- Commercial Driver License Information System (CDLIS)
- Comprehensive Case Information System (CCIS )
- FCCC website
- Mail/Fax
- Email/Outlook

Inputs			
Information Received	Description	Source	Format
In-state citations	Citations issued by Florida law enforcement officials to Florida drivers that have violated Florida driving laws	Florida Court Clerks and Comptrollers	Electronically through the TCATS system
In-state sanctions	Sanctions imposed upon Florida drivers in the form of court orders issued by the Florida Court system for violation of Florida laws	Florida Court Clerks and Comptrollers	Copy by mail / fax or soft copy via email (format cannot be uploaded into the system electronically)
Florida criminal financial obligations	Financial obligations imposed upon convicted criminals (e.g., court costs)	Florida Court Clerks and Comptrollers	Copy by mail / fax or soft copy via email (format cannot be uploaded into the system electronically) Flat files sent to FCCC and then submitted to the Department by FCCC



<b>Inputs</b>			
<b>Information Received</b>	<b>Description</b>	<b>Source</b>	<b>Format</b>
Out-of-State citations and sanctions	Citations and/or sanctions issued to Florida drivers by law enforcement or courts in other jurisdictions	Out-of-State jurisdictions	Copy by mail /fax or soft copy via email (format cannot be uploaded into the system electronically)
Out-of-State CDL sanctions and citations	Citations and/or sanctions issued to Florida commercial drivers by law enforcement or courts in other jurisdictions	AAMVA	Electronically through the CDLIS system

Outputs

- Updated driver records
- Communication to drivers regarding sanctions and citations
- Record sales
- Data exchange with government entities and law enforcement agencies

Driver License Record Updates Citations and Sanctions Technical Challenges:

- Out-of-State citation and sanction information for CDL drivers licensed in Florida is available to the Department real-time, but not posted to the driver record until processed through a scheduled batch program.
- The CCIS system does not allow Clerks of Court to clear criminal financial obligation violations.
- There is a risk that sexual offender status is not flagged on the driver record. This is both a Technical and Business Challenge. The business challenge is that the Department relies upon self-reporting and registration to identify drivers that should be flagged as a sexual offender. If a person fails to register with the Department, the record is not flagged. The technical challenge is caused by the batch nature of the update. When a driver self-reports their status, a batch process queries the FDLE database and results are posted back to the driver’s record. The batch processes causes a delay between self-registration and drivers record update.

**c. Enforcement Activities**

Enforcement Activities Background

The Department’s core mission includes activities to enforce compliance with requirements for maintaining licenses, registrations, and other instruments issued by the Department. Enforcement activities pertain to driver license, motor vehicle, and other transactions performed by the Department and are detailed below.

Driver License enforcement activities include:

- Financial responsibility, making sure minimum insurance requirements are met;
- Application of sanction consequences that could lead to revocation, suspension, cancellation, or disqualification, and
- Determining whether issuance is appropriate for customers requiring additional review (e.g., medical reviews).
- Ensuring that all applicants for Commercial Driver Licenses meet the minimum federal requirements for issuance.

Motor Vehicle enforcement activities include:

- Stops placed on the customer, registration or vehicle that limit the customer's ability to perform future transactions related to motor vehicles, and
- Other enforcement activities include processes such as inspections of rebuilt vehicles and mobile home manufacturers.

## 1) Driver License Enforcement Activities

### a) Financial Responsibility

#### Overview

Financial Responsibility staff is primarily concerned with enforcing the requirements of two laws – the Financial Responsibility Law and the Florida Motor Vehicle No-Fault Law. These laws require drivers to maintain certain levels of insurance, which are monitored differently according to the requirements of their respective Statutes:

- The Florida Motor Vehicle No-Fault Law requires Personal Injury Protection (PIP) and Property Damage Liability (PDL) to be carried on each vehicle, throughout the vehicle registration period and coverage is monitored by the Department. If a person is convicted of not providing proof of insurance, the Department monitors their coverage for two years. PIP/PDL insurance is carried on the vehicle.
- The Financial Responsibility Law requires that proof of full Liability insurance, including bodily injury liability (BIL), at the time of a crash or certain violations. If a person is in a crash and found to not have liability insurance, the Department monitors their coverage for three years. Liability insurance is carried on the person and vehicle.

Insurance is enforced against the driver license and one or all of the vehicle registrations for the driver. If required insurance is not maintained, a license is suspended and a fine of \$150 - \$500 may be required to reinstate the license.

#### Description

Files received from insurance companies are compared against the Department's driver records by a batch process.

For PIP insurance, if the insurance file shows that PIP was cancelled, the insurance file is checked again in 20 days to allow time for new or updated insurance. If PIP is still not present, a 15-day postdated suspension letter is sent to the driver and the driver must provide proof of insurance to the department and pay a reinstatement fee, if required, when proper insurance was not maintained. (If an insurance policy cancellation (FR sanction Type 7) is received by an insurance company when PIP/PDL insurance was maintained, a driver may use the internet to clear their license. If the driver has other open FR sanctions, they will have to go into an office facility to clear the sanctions.)

Bodily injury liability (BIL) insurance is not automatically tracked on every driver. However, if a driver was in a crash and did not have BIL insurance, an FR Sanction is opened and an "SR22" is required for tracking purposes. This shows proof of BIL insurance with limits of 10k/20k/10k or higher. If insurance is cancelled, the license is immediately suspended and the driver must go to an office and provide a new/reinstated SR22 and pay a reinstatement fee. If a driver is convicted of DUI an "FR44" is required. This shows proof of BIL insurance with limits of 100k/300k/50k or higher.

### Process Steps

For PIP:

- FTP Files from insurance companies are received on a regularly scheduled basis. These contain policy holder information, insurance type and include whether the policy is new, reinstated or cancelled.
- A batch process runs against the policies in the database. For each cancelled PIP insurance policy, the driver's policy record in the database is flagged.
- At 20 days, coverage is checked again and if still not present, a letter is generated and sent to the driver.
- If the driver has not presented proof of insurance at 15 days, the license is automatically suspended on the database. At this time, some reinstatements require the driver to go to an issuance office to pay a fine to reinstate.

For BIL Insurance:

- A driver is required to obtain a certificate of coverage limits to demonstrate compliance with increased coverage due to violations that have occurred.
- Insurance companies electronically send bodily injury liability certification data (including cancellation information) to the Department on a regularly scheduled basis.
- A batch process is run against the certification data into the database, attaching certification information to the corresponding driver record.
- Cancellations of the certificate trigger an automatic driver license suspension.

### Challenges

Technical Challenges

- FDLIS can't track information on liability insurance coverage. In order to track liability, an FR sanction is created from the crash report or certain conviction and a "SR22" is required. This form indicates that proof of liability insurance is required.
- Unlicensed drivers' insured status cannot be tracked because the insurance is required on a vehicle, but enforced on a license. If a registered vehicle fails to carry insurance but the driver is not licensed, it is not caught because the policy is checked against the licensed driver.
- Commercial and fleet registered vehicles are not tracked because of workload.

- There is a belief that a large number of uninsured motorists are not being caught by the current system logic, leading to greater uninsured motorist risk and un-captured revenue. The solution to this issue will require a detailed analysis of the current system logic to determine where uninsured drivers are being missed. This belief is based on an analysis of various statistics:
  - There is a 8% uninsured motorist rate, equivalent to approximately 600,000 uninsured motorists at any given point in time.
  - DHSMV has approximately 450,000 suspended motorists at any given time. This leaves a delta of approximately 150,000 uninsured motorists not being caught by the system.
  - Of the 450,000 suspended, 185,000 pay or will pay the reinstatement fee. The remaining 265,000 do not pay fines for various reasons, including that the motorist no longer has a registered vehicle (and therefore does not require insurance).
- Crash related information for a car owned by a company rather than an individual is not tracked because crash data is only stored against a person.

#### **b) Driver Improvement**

##### Overview

The Driver Improvement (DI) Staff are responsible for reviewing sanctions imposed by TCATS and DL Records for accuracy before licenses are revoked, suspended, disqualified, canceled or reinstated. Depending upon the type of sanction, the DI staff will either perform a detailed review of sanctions and corresponding driving records to ensure that the correct sanction has been issued or perform a less involved quality review before sanctions are issued to drivers.

##### **Sanction Review Process**

##### Description:

This is the process of reviewing sanctions imposed on drivers before communication of the penalties and requirements is sent to drivers.

##### Process Steps

Sanctions are input into driver records through the sanction update process. Notices to the driver are generated through a daily batch process and are then printed by a third-party printing company. If the sanction is a Driving Under the Influence (DUI), Habitual Traffic Offender (HTO), felony, violation of restriction, racing or point suspension, a full driver transcript is also printed. The hard copy documents are given to the Driver Improvement (DI) staff. The DI staff sorts by date and sanction type and, if applicable, matches to the corresponding hard copy driver transcript. For DUI, HTO, felony, violation of restriction, racing or point suspensions, DI staff review all notices to go out. This review process is in place to identify common errors that have occurred either in the input process by the courts or systematically when the sanction was entered onto the record and the notice was generated. For sanctions that are not DUI, HTO, felony, violation of restriction, racing or

point suspensions, the DI staff perform a quality review to identify apparent errors such as duplicate notices.

If an error is found in the review process, the DI staff updates the Driver record and manually produces an updated notice in Microsoft Word. Notifications are held by the DI staff until the send date printed on the notification, at which point they go to the mailroom for stuffing and mailing.

#### Stakeholders

- DHSMV staff (Driver Improvement, DL Records)
- Law enforcement
- Third-party print vendor
- Florida drivers
- General public

#### Interfaces

- FDLIS
- DL Maintenance
- Microsoft Word
- Microsoft Excel
- Motorist Maintenance

#### Inputs

The inputs for the sanction review process include hardcopies of sanction notifications printed by a vendor after the DL Records staff has entered the convictions onto the driving record. In addition, if a sanction is a DUI, HTO, felony, violation of restriction, racing or point suspension, the Department's third-party print vendor also prints and provides hardcopies of the corresponding driver records.

#### Outputs

- Notifications of sanctions sent out to drivers to communicate the imposed penalty and/or additional requirements to be met
- If an error is found during the review process, a correction is entered on the driver record

#### Challenges

- This process is in place largely to review errors caused within the system when a conviction is entered by TCATS and DL Records staff.
- Examples of some of the programming errors that the driver improvement staff review for are as follows:
  - HTO revocation order is produced; however, the actual revocation is not appearing on the driver record. This error usually occurs when there is a DUI, and two "driving while license suspended" convictions on the record where the DUI period is indefinite.
  - Conviction is received from the courts and manually entered into TCATS. However, the same conviction is also sent through the electronic sanction update process. The duplicate suspension is not identified by the system, and the record shows a second conviction in error.

- HTO revocations are calculated by conviction date. Program is issuing a revocation order for tickets outside of the five year period. Example – conviction is 1999 and then two in 2008.
- A driver has an out-of-State DUI conviction on his record. He moves to Florida and is issued a Florida driver license for the first time. His record is subsequently received, and the system revokes his Florida license erroneously before the record is reviewed and due process is afforded.

### c) Vision/Medical Report Review

#### Overview

The Department's enforcement responsibilities include ensuring that drivers with medical or vision impairments are appropriately restricted from driving. This responsibility is carried out with two main processes: medical report and vision report reviews. Both processes begin with the receipt of information that may indicate that a driver's health is impairing their driving ability. The Department must then review the information received, make a determination as to whether or not the driver license should be restricted or revoked due to the impairment, implement the necessary action, and then communicate the implications to the affected driver.

#### Description

The vision report review process involves periodic vision reports and "over 80" renewals. Periodic vision reports are required when information is received from medical professionals, family members, or citizens concerned about a driver's vision and how it may affect driving abilities. "Over 80" renewals are vision reports that are required for any driver over 80 years of age seeking to renew their driver license.

#### Process Steps

Once vision reports are received by the Department, they are printed in hard copy and reviewed by Driver Improvement (DI) personnel. During the review process, DI personnel manually code the outcome of the vision report which includes inputting coding to:

- Restrict or revoke the license, if necessary;
- Detail whether or not correspondence should be sent out to the driver and indication as to which type of correspondence will be sent based upon the action taken or requirements to be met, and
- Detail follow-up actions necessary (e.g., driver to be re-examined in 12 months).

If correspondence is necessary, a letter is manually generated using Microsoft Word and sent out to the corresponding driver.

For "over 80" renewal reports, the vision reports are received through the Department's mailroom along with renewal fees. The fees are separated from the vision reports and sent to accounting to be entered into the Cashier Receipt System (CRS). Vision reports are then sent to BOR (Processing and Issuance) to be reviewed. From Processing and Issuance they are routed to DI (Vision section) for approval or denial of vision reports. The review

process includes the coding steps detailed above. In addition, personnel must go to the Florida Department of Health (FDOH) website to confirm that the exam was performed by an eye doctor licensed by the state of Florida. The driver transcript must also be printed to ensure that the proper restrictions exist and to determine if a follow-up eye exam is needed. DI personnel must go into CRS to refund the payments if the driver is not eligible for renewal or to note that the vision is approved and being returned to BOR for license issuance. NOTE: restrictions and exam updates are not done for periodic reviews, and there is no money attached to them.

#### Stakeholders

- DHSMV staff
- Driver Improvement (DI)
- Central Issuance Processing System (CIPS)
- Bureau of Records (BOR)
- Mailroom
- Field offices
- Florida Drivers
- Law Enforcement
- Medical Personnel
- General Public

#### Interfaces

- FDLIS
- DL Maintenance
- Motorist Maintenance
- Microsoft Word
- Microsoft Access
- Outlook/Email
- Fax
- Florida Department of Health (DOH) website
- CRS
- Electronic vision system

#### Inputs

- Hard copy or electronic eye reports
- Scanned documents collected from customers in the field
- Communication received from customers regarding eye/medical exams
- Driver transcripts

#### Outputs

Outputs for the "over 80" process are:

- Approved vision report so BOR can renew driver license, or
- Refund and notice of ineligibility
- Revocations for Inadequate Vision or Inadequate Field of Vision
- New periodic vision cases

Outputs for the periodic review process are:

- Driver license restrictions or revocations and corresponding notices to drivers or
- Notices that driving status will not be affected by results of the eye exam received
- Failed to submit revocations

#### d. Revenue Collection & Distribution

##### Background

The Department is required by Florida Statute to collect hundreds of different fee types and distribute them to private organizations and various governmental entities for critical services. Revenue collection and distribution is a supporting process which accounts for \$2.4 billion dollars of revenue annually. Many government and non-governmental entities rely on the Department's revenue collection and distribution process as a major source of income. In addition, the Department's revenue reports are an integral part of the State's revenue estimation process, since such a large number of entities receive funds collected by the Department. Internally, the Department relies upon reports produced from the revenue collection and distribution process to perform financial reconciliations, projections, audits, and analyses.

Revenue is collected from numerous entities and is recorded in FRVIS, FDLIS, and DL Maintenance or manually through the Cash Receipt System (CRS) system, depending on how the funds were received. Once collected, revenue is deposited, reconciled, and distributed out to the appropriate entities. The distribution process is managed in FRVIS using a batch process. The two main processes performed are payment processing and revenue distribution.

#### 1) Payment Processing

##### Description

This is the process of collecting, processing, and distributing revenue collected by the Department.

##### Process Steps

##### **In-house:**

Online/Interactive Voice Response (IVR), DL, MV, data sales fees, as well as miscellaneous revenue is collected in-house and processed either manually or programmatically. The manual process is where accounting staff inputs transaction data into CRS. CRS then posts that data to FRVIS for inclusion in the distribution of revenue. Programmatically, the data is automatically posted to FRVIS when the transaction occurs. Request for services with corresponding payments are mailed to the Department. These requests are received by the mailroom; the mailroom staff opens and scans the check and documentation into the vendor system according to the business unit. During this process, the remitter information from the check is captured along with the check number and check amount. A control number is assigned to both the check and documents and that day's work is transmitted to the bank for deposit. The checks and documents received are batched together according to business unit and forwarded to accounting/revenue staff. Staff imports the data from the vendor system into CRS and verifies that the written amount on the check, check number, and remitter information match. Once this process is completed, the checks are removed from the batch, and the vendor-transmitted



deposit can be audited and entered into the proper FLAIR accounts the next business day. At this time the control number details the amount deposited. A Program Area (business unit) Report is attached to each batch and lists the control number, remitter name, check number, and check amount of each check received for the batch and is forwarded with the supporting documentation to the business unit. Each business unit processes the transactions according to the nature of the transaction. The transactions are recorded programmatically either in FDLIS, FRVIS, and DL maintenance or manually within CRS, Microsoft Excel, or other programs used by business units. A batch process updates the information in the FRVIS system. Once the End-of-Day report for the business unit has been closed, a separate report is printed from the CRS system. The business unit then reconciles to the End-of-Day report. If no discrepancies are found, the amount processed is posted to FRVIS so the revenue can be distributed.

**Field offices:**

DL and MV transaction fees are collected in State-run field offices. Customers come into field offices to make a payment, and transactions are processed within FDLIS or FRVIS (depending upon the transaction type) within the corresponding customer's account. In addition, payment information is entered into the cashiering portions of FDLIS or FRVIS, and money is deposited by the field office into the Department's account. Once revenue is received, it is manually posted to FRVIS and automatically sent to the batch distribution system.

**Tax Collectors:**

DL and MV transaction fees are collected by tax collectors. Customers come into tax collector offices to make a payment and transactions are processed within FDLIS or FRVIS (depending upon the transaction type) within the corresponding customer's account. Payments are recorded to the cashiering portions of FDLIS or FRVIS, and cash is deposited by the tax collector into the Department's account. Revenue recorded in FRVIS or FDLIS is automatically sent to the distribution system to be distributed appropriately. In addition to in-person DL and MV transactions, tax collectors also download online MV transactions into FRVIS, which follows this same distribution process.

**FHP:**

The Florida Highway Patrol and an online vendor sell crash reports. FHP tracks the amount owed and deposits the associated fees into the Department's account. A manual reconciliation is performed by Department accounting revenue staff. Once the reconciliation is performed, the accounting staff must manually enter the revenue into the CRS system in order for the fee to be distributed by the distribution system appropriately. With online vendor sales, the Department debits the relevant fee amount from the vendor for reported transactions, which is programmatically posted into FRVIS for distribution.

**DOR/Clerk of Court:**

The Clerks of Court collect civil penalty fines on behalf of the State from drivers with violations and performs the necessary clearance procedures for the respective driver. The Clerks send revenue collected to DOR, and DOR is then responsible for depositing the money received into the Department's account. The Department then manually enters the amount deposited by DOR into the CRS system, and marks the funds with a deposited status. The transactions are then manually processed by the

Department staff, which allows the revenue to be automatically sent to the distribution system to be distributed.

**Revenue Distribution:**

Once End-of-Day reports close for edits in the FRVIS system, the revenue received must be posted to FRVIS either through an automated process through Bank of America or manually, depending upon the mechanism in place for receiving the funds. A distribution payment flat file is created during each batch distribution cycle. The flat file is placed on a server where revenue staff can access it for further processing. Before the revenue can be distributed, staff must manually place holds on certain funds for either audit purposes or requirements attached to specific revenue streams which prohibit the funds from being disbursed at that time. Revenue Distribution then sends the edited file to the Accounts Payable unit, where the report is uploaded to a custom-built web-based application FAME that distributes the money to the appropriate accounts and uploads distributed revenue to the State's accounting system, FLAIR. Checks or an ACH are produced from FLAIR by the State, and revenue is physically distributed to the recipients. Checks are returned to the Department and mailed to recipients. The revenue transfers are completed manually by revenue staff to in-house accounts and other state agencies.

Stakeholders

- Department staff (business units & accounting)
- Tax Collectors
- FHP
- DOR/Clerk of Court
- General Public
- Florida drivers
- Florida motor vehicle owners
- IFTA/IRP licensees/registrants
- Mobile home manufacturers and dealers
- Car dealers
- Specialty plate organizations
- State agencies
- Voluntary contribution organizations
- Local jurisdictions
- School boards
- Out-of-State jurisdictions
- County Commissions

Interfaces

- FRVIS
- FDLIS
- DL Maintenance
- CRS
- Microsoft Excel
- Mail/Fax
- FAME distribution program
- FLAIR
- Bank of America

<b>Process Inputs</b>		
<i>Fee Type</i>	<i>Description</i>	<i>Collection/Processing Points</i>
Online	DL transaction fees, MV transaction fees, and data sale fees collected either online or via telephone	Online fees received for DL transactions and data sales reports are processed in-house. Online fees received for MV transactions are processed by County Tax Collectors.
DOR/Clerk of Court fees	Civil fines collected by Clerk of Court	DOR/Clerk of Court fees are collected by the Clerks of Court, deposited, and then transactional information is provided to the Department for processing.
DL fees	DL transaction fees collected for driver license services such as issuance, renewal, reinstatement, and other license-related services	DL transaction fees are collected and processed by State-operated field offices, in-house, online, and by County Tax Collectors.
MV fees	MV transaction fees collected for services such as title and registration issuance, registration renewals, IFTA tax payments, licensing fees for car dealers and mobile home manufacturers and other MV related services	MV transaction fees are collected and processed by State-operated field offices, in-house, online and by County Tax Collectors.
Data sales fees	Data sales fees collected from the sale of DL and MV data to customers	Data sales fees are collected either online or in-house and are processed in-house.
Crash report fees	Crash report fees are fees relayed to the Department by FHP or online vendor for crash reports	Crash report fees are deposited directly into the Department's bank account by FHP and are then manually processed in-house. The online vendor is debited for transactions in an automated process.

Outputs

- Distributed revenue into FLAIR
- Warrants distributed to appropriate entities
- Revenue reports to perform financial reconciliations, projections, and analyses

**e. Data Exchange**

Background

The Department maintains the data repository for Motorist Services. Numerous public and private entities enter into a formal relationship with the Department to obtain the

specific data they need, both on a scheduled and ad hoc basis. In some instances the exchange of data with other governmental jurisdictions may affect critical public safety functions such as citations, sanctions, or data on sex offenders, predators, career offender registrations, or other law enforcement information. In other instances, the data serves a business need as is the case of the insurance industry and driver records or R.L. Polk/Blue Book and bulk vehicle transaction information. In all instances, the relationship between the requestor and Department is documented with a Memorandum of Understanding (MOU) which varies dependent on who the requestor is, what the request is, the purpose for having the data, and how it is to be transmitted. Fees associated with the sale of data and specifications regarding what data can be exchanged or sold are often set by statute. Government entities, including courts and law enforcement organizations, are exempt from paying fees. In all instances, requests are satisfied within the confines of Federal/State/Department privacy and security considerations and with ongoing scrutiny on how the exchanged/sold data is actually used. Data is exchanged through direct program access and electronically.

### 1) **Initiation of a Data Exchange for driver license data or program access**

#### Description

This is the process for an entity to set up a data exchange relationship with the Department to obtain driver license data and/or gain access to the mainframe program.

#### Process Steps

##### **Establish relationship**

Request received by Department Records staff to obtain driver license data or program access.

E-mail sent to Requestor with Driver Privacy Protection Act (DPPA) Form and Questionnaire for determining eligibility of obtaining data and to provide insight and reason for its use within the Requestors organization.

##### **Functional Processing/Formalization of Relationship**

Documents filled out by Requestor and returned to Records staff. Documentation may include Authorization to Debit Account or that may be submitted with MOU. Records staff make a determination on the request and contact Requestor via e-mail or phone to review how the process will proceed for providing the requested data, applicable costs, time table, and any other pertinent information. If request not approved, staff will detail the reason for the denial.

Records staff prepare a Memorandum of Understanding (MOU) and incorporate the information provided within the questionnaire by the Requestor. Appropriate attachments are completed, identifying the type of data requested, the source of the data within the Department, and the applicable cost to the Requestor.

MOU and supporting documents electronically sent to Requestor. Name, address, and contact information of Requestor entered into Excel spreadsheet to document and track the mailing of the MOU from the agency. If sent with questionnaire, Authorization to Debit information also recorded.

##### **Functional Processing/Approvals/Contracting/Collect Revenue**

Requestor reviews, signs and returns documents to Records staff. MOU/attachments and DPPA Form forwarded to DHSMV Division of Administration DAS)/Purchasing and Contracts for execution. Purchasing and Contracts routes the documents to various levels of management within the Department for review and signature. The Authorization to Debit Form received either with the Questionnaire or MOU is forwarded to Revenue to set up the electronic debiting process for payment for data to be released. The executed MOU/attachments are returned to Purchasing and Contracts, scanned into the Electronic Repository of Executed Contracts (EREC) system with a copy electronically sent back to Records staff.

Records staff receive the electronic copy of the executed MOU, and update the Excel spreadsheet to include the contract number (MOU #) and effective date of the contract. This information is used for documentation and monitoring purposes and to ascertain when annual affirmations must be sent out.

#### **Data Exchange Set-Up**

If the Requestor is a governmental entity and requests access to any of the agency's web-based application programs, upon execution of the MOU, the Records staff will notify the appropriate ISA web application group. Detailed information is provided so that the group can contact the Requestor to set up access, provide user IDs, passwords, and provide instructions.

For data that will be obtained electronically in a batch process through the mainframe, whether it is a governmental or private , a Work Request and Prioritization (WRAP) Request is filled out. The WRAP includes business rules that recognize the purpose of releasing the data and the benefits and possible monetary gains of implementation.

#### Stakeholders

- Purchasers of bulk data
- The public
- Executive Management of DHSMV
- Other governmental jurisdictions requesting data
- Law Enforcement
- Network Providers (provide access through their existing Portal in mainframe)

#### Interfaces

- FRVIS - vehicle registration data
- FDLIS and DL Maintenance - Driver Information
- Data Warehouse
- TCATS - citation data received electronically from the Clerks of Court or entered from paper reports
- CRASH - crash report data received electronically from law enforcement agencies or entered from paper reports
- DAVID
- Florida Residency Verification Program
- Electronic Repository of Executed Contracts (EREC) database for DHSMV contracting and purchasing (all requests)

#### Inputs

- Florida Driver Privacy Protection Act Form (DPPA)
- Data Access Request Form

#### Outputs

- Executed MOU and attachments
- Debit authorizations
- Completed DPPA Form
- Data requested
- HAVA – Voter Registration (DOS)
- Donate Florida – Organ donation registration

#### Challenges

- Requested data not easily accessible, causing requestors to have to wait a long time to get their data, delayed revenue, and disgruntled customers
- System/technology not in place to track appropriateness of how data is actually being used by Requestor
- Batch process is cumbersome and time consuming
- No self-service opportunities for requestors or staff to satisfy data requests without going through ISA
- Staff frequently have to “tweak” data once it is pulled to fit into what was requested
- More staff required to provide the critical oversight to ensure data not being misused and DPPA rules are being met
- Data requests have to go through the normal WRAP business process

## **f. Reporting**

### Background

Reports are generated by many different areas throughout the organization. Reporting functions are currently performed by the following business units:

- Information Systems Administration - Warehouse and Reporting, FRVIS, FDLIS, Information Exchange Services (IES), Collaboration Services, Integration Services, Database
- Strategic Support Services (MV)
- Driver License Statistics unit
- Crash Records unit
- Office of Performance Management
- Driver Education
- Revenue

These entities generate reports for different purposes, including general inquiry, requests for a single driver or motor vehicle record, and generating data requests for entities with MOUs with the Department.

### **1) Performance Reporting**

#### Background

The Office of Performance Management is responsible for tracking and reporting on selected Department performance measures and standards contained in the Executive Director’s Annual Performance Contract with the Governor and Cabinet.

The performance measures and standards are aligned with the Department's Annual Strategic Plan, and are grouped under the four primary goals of Public Safety; Reliable Service Delivery; Leveraging Technology; and Talent Creation and Development. Actual performance is measured and reported to the Governor and Cabinet quarterly and is available online through the Department's intranet and internet. The Office also monitors the key performance indicators included in the Department's Long Range Program Plan (LRPP).

#### Process Steps

Each performance measure is carefully defined (including calculation methodologies) and specific data sources identified. To ensure the accuracy of the performance data, the Department's Inspector General reviews the definition forms and attests to the reliability and validity of this information. Monthly, the Office of Performance Management receives information and data from the relevant business units for each performance measure. Such information is provided via Excel spreadsheets or by direct access into specific data sources (e.g., data warehouses). This information is summarized and recorded by the Office of Performance Management into a SharePoint database that is the backbone of our dashboard.

#### Stakeholders

- Department leadership, managers, and members
- Florida Governor and Cabinet
- Florida Legislature (members and staff)
- Tax Collectors
- Law enforcement
- General public

#### Interfaces

- FDLIS
- FRVIS
- SharePoint
- Microsoft Excel
- Computer Aided Dispatch
- SmartCop Mobile Forms
- PeopleFirst
- QMatic
- Crash Records Database
- iLearn Training System

#### Inputs

- Performance data received from the business units

#### Outputs

- Information for reporting such as:
  - Department Intranet and Internet
  - Long Range Program Plan
  - Quarterly Performance Reports
  - Annual Performance Report

Challenges

## Technical Challenges

- There is no mechanism in place to obtain statistical data directly from the current systems for performance reporting. The Department has developed workarounds for gathering statistical data needed for various reporting purposes.
- The current process does not have the desired functionality necessary to provide users with timely data in its most useful form (e.g., trend analyses or demographic/geographic details).

**g. Audit Functions**Background

Auditing functions occur across the organization and are critical to evaluating compliance in various program areas. Auditing encompasses the proactive selection of sample items to be reviewed or inspected, requesting corresponding documentation and/or scheduling visits, performing testing procedures, and then recording audit results, which begins the corrective action process. Program areas with audit functions include:

**1) Quality reviews performed over the Tax Collectors**

The audits that occur in the Department either have an internal or external focus, designed to meet different objectives depending upon the focus of the review. For example, quality reviews performed on tax collector transactions are intended to assess internal business integrity. Although the objectives for each audit performed vary depending upon the business area, each audit function entails the same core activities. However, the detailed business processes vary greatly because of the disparate technologies used across the Department to record audit processes.

**2) Quality reviews performed over DL transactions**Overview

Periodic quality reviews of driver license transactions are performed by the Quality Assurance (QA) section within Motorist Services to make sure that driver license transactions are being processed according to Federal, State and Department requirements by tax collectors and Department staff in field offices. The review process is performed either over a judgmental sample selected based on information received or over a random sample of transactions covering a specific timeframe. The quality review process is tracked manually within Microsoft Excel spreadsheets maintained on a SharePoint site. Once samples are selected and the samples have been assigned to a reviewer, the review is performed, documented, and communicated through the chain of command for the respective program area. Once communicated, the respective program area's chain of command is responsible for handling necessary corrective actions and/or communicating results to the office or personnel responsible for the transaction.

Reviewers are experienced staff having previously worked in the field and with extensive knowledge about the requirements for processing DL transactions. Therefore, institutional knowledge is the basis of the criteria utilized for reviewing for compliance. However, reviewers also reference the DL examiners manual on the Department's intranet to answer process-related questions.



Description

This is the internal review process of reviewing driver license transactions performed by the Department or tax collectors for compliance with applicable requirements.

Process Steps

Sample selection is performed in two ways. If the QA section receives information regarding potential fraud or questionable transactions, samples are judgmentally selected to focus on questioned transactions. The QA section requests a report containing specific transactions pertaining to the information received regarding the questioned transactions from DL Records Statistics section. The Statistics staff will extract the specific population from the FDLIS system, export the listing into Microsoft Excel, and then provide it back to QA in an email. Once the population is received, the QA section assigns reviewers to the transactions by email and puts a Microsoft Excel tracking sheet in the SharePoint site.

For periodic reviews not triggered by information received, the reviewer first determines the nature of the review to be performed including the transaction type and date range. In order to make this determination, the reviewer must examine the sample tracking spreadsheet in SharePoint to make sure that review efforts are not duplicated and appropriate coverage is given to certain transaction types and date ranges. Once the focus of the periodic review is determined, the reviewer accesses reports that have been established by ISA and are available on the SharePoint site. Reports available include the following:

- DL Licenses Issued with No Fee
- DL Issued with citizenship change
- DL Issuances voided and not reissued

Once the desired report is opened in SharePoint, the reviewer must enter the desired date parameters for the transactions. The report is then created and exported into Microsoft Excel. The reviewer randomly selects a sample of transactions to review from the population received from the report. The samples are tracked in a Microsoft Excel tracking sheet kept on the SharePoint site.

**Review/Testing**

Once samples have been selected and assigned to reviewers, the review process begins. Reviews are performed for each DL transaction selected by accessing the transaction in the DAVID system. The reviewer logs into the DAVID system and searches by DL number, then sorts the listing of corresponding transactions by date to find the specific transaction to be reviewed. The reviewer then inspects the transaction detail including attached scanned documents to test for compliance with Federal, State, and Department requirements. Scanned documentation may include any of the following types of documents:

- Birth certificate;
- Passport;
- Proof of social security number;
- Proof of legal status;
- Proof of residence;

- Proof of name change (marriage certificate or court papers);
- FDLE Predator/Offender paperwork, and
- Back up for no fee replacements.

During the review process and depending upon the nature of the transaction processed, the reviewer may also need to access other systems or resources including:

- FDLIS to access driver records:
- U.S. Citizenship and Immigration Services Verification Information System (USCIS) & DHS website to verify legal presence & documents:
- ADLTS to verify and review written driving test results:
- CICS to verify payments of citations, and
- Hot Map Application used to review DL transactions in real-time and history.

### **Results & Communication**

Once review of a transaction has been performed, the results are added to the comments field in the appropriate tracking spreadsheet in SharePoint. If issues were noted in the review, the reviewer must determine if law enforcement should be involved. For example, if the review results demonstrate the possibility of fraud, the results should be provided to law enforcement. In this case, the reviewer gathers the backup documents pertaining to the sample and submits them to FDLE investigators. If law enforcement does not need to be involved, the results are communicated to the corresponding Bureau Chief. From that point, the review process is over for the QA section. Bureau Chiefs are responsible for handling necessary corrective actions and/or communicating results to the office or personnel responsible for the transaction, as needed.

### Stakeholders

- Motorist Services
  - Quality Assurance section staff
- Department management
- Tax Collectors & staff
- ISA
- General public
- Florida drivers
- Law enforcement
- Driver Improvement
- DL Records
  - DL Statistics unit
  - DL Processing & Issuance unit

### Interfaces

- FDLIS
- DAVID
- CCIS (Comprehensive Case Information System)
- ADLTS
- Email/Outlook
- Microsoft Excel

- SharePoint
- USCIS & DHS
- Hot Map HQ use allows for connection to local DL servers
- IID - Ignition Interlock Devices
- Sexual Offender/Sexual Predator data (FDLE)

#### Inputs

- Records of driver license transactions

#### Outputs

- Completed tracking spreadsheet in SharePoint detailing the results of the QA review performed
- If results are communicated to law enforcement, hardcopies of backup documents reviewed during the QA process are provided to FDLE investigators
- Results from reviews communicated by email to Bureau Chiefs
- Communication to business unit from the Bureau Chiefs regarding review results and corrective action requirements, as necessary

#### Challenges

- The sample selection process has many limitations because of the lack of detailed reports available from the FDLIS systems. There are a limited number of reports, as developed by ISA, which are available on SharePoint and can be run to obtain various populations.
- Records reviewed during the quality review process within DAVID are not updated real-time and therefore, may not include the most up-to-date data. As transactions are processed by Tax Collector staff and Department staff in field offices in the FDLIS system, batch processes are run nightly to upload the day's transactional data from local databases to the main DL database. The QA section has developed a work around process in order to review data and transactions in a real-time capacity. As needed, the QA staff uses hot mapping capabilities to connect to local servers in order review real-time transactional data.

## **2. Assumptions and Constraints**

The Department operates in a regulated environment and is subject to numerous State and Federal statutes and rules, as well as professional standards relating to data protections and integrity. These requirements will need to be carefully considered during requirement analysis and eventual system selection.

## **C. Proposed Business Process Requirements**

### **1. Proposed Business Process Requirements**

The Department is looking to re-engineer antiquated processes and technology currently used for driver licensing, motor vehicle titling, registration, and various other systems. Current technology is a barrier to the Department fully implementing its plans. In addition, the Department has received revised federal mandates relating to the Commercial Drivers Licenses. These include a new card type (for commercial learner's permit (CLP)), new requirements related to disqualification of CLP holders, and additional restrictions that will need to be incorporated into current business processes.

The proposed system must provide for greater data availability, integrity accountability, and the flexibility to meet future needs. This re-engineering will result in reduced costs and aid in fully capturing revenue for the State of Florida. These new systems will reflect re-engineered processes with new functionalities that are easier to use, maintain, and enhance.

Detailed processes will be designed to reflect the Department's consolidation of functional responsibilities and the expected procedural changes that will result from technical barriers being removed. The revised processes, as well as the overall objectives and data standards developed by the Division, will be the basis for future detailed requirements and selection of a specific solution.

## 2. Business Solution Alternatives

The Department has investigated five solution alternatives, including three varieties of commercially available systems (off-the-shelf, modifiable off-the-shelf, and other State transfer) which were combined because of their similarities. In addition, *custom build* and *retain existing system* alternatives were also considered.

### **Maintain / Enhance Current System**

There are significant shortcomings with this approach. The current system's capability of supporting new functionality is limited and there are considerable costs related to system maintenance and upgrades today. Based on current system complexity and the level of effort required to modify relatively minor components, the Department believes the current system is incapable of being modified to support the required business functionality.

### **Purchase and Configure a Commercially Available Solution**

This alternative requires the Department to go through the State's purchasing process to procure the commercially available solution that most closely aligns with the needs of the Department and contract with a vendor to configure and / or customize the solution. As part of the purchase of any commercially available solution, some business processes will need to be modified to accommodate the system's approach.

While each state must provide motorist services, they each have different laws and procedures. Any out-of-the-box solution will have to be customized to suit the needs of the State of Florida. Based upon research with the American Association of Motor Vehicle Administrators, completing this customization has been problematic for many states. Disputes over cost associated with customization has led to litigation in some cases and caused huge delays in the project schedules. Although states share the same mission of providing driver licenses, identification and registering and titling vehicles, the details are different.

States have also had disputes with vendors concerning the use of overseas resources. Some firms want to perform a portion of the project work overseas which has been opposed by some state DMVs. These disputes have led to the termination of contracts and project delays. In some cases, multiple contracts with multiple vendors have been canceled.

Some states have also found scalability and seamless integration into current operation to be difficult.

### **Custom Development**

This alternative requires the Department to procure a vendor and/or engage in-house resources to design, develop, and deploy a solution. A custom-built technology environment can be designed, developed, and deployed to meet the specific needs of the Department. A commercial available solution may be used for smaller components in the re-engineering in which the Department may not have the required expertise.

Additional advantages of this approach include:

- System will be built to integrate easily with other third-party systems and existing systems
- Minimizes the cost associated with upgrades and customization of commercial software
- Features built that are unique to current business processes
- Subject matter experts have the opportunity to provide input on the development of the system
- Higher quality of support for the software dealing directly with developers in-house

### **3. Rationale for Selection**

To select the option communicated below, potential solutions were evaluated against their likelihood to deliver the necessary functionality, risk in implementing, estimated cost, and estimated implementation timeframe. Migration of most issuance services to tax collectors is underway already, and the Department has begun implementing its revised organizational structure. Also a great deal of consideration was given to the lessons learned from other states that have embarked on efforts to re-engineer all or portions of their legacy systems. The Department also consulted with AAMVA for their detailed knowledge of member jurisdictions' activities.

### **4. Recommended Business Solution**

The Department recommends replacing some of the older legacy applications and back-end mainframe-based processes with custom developed software systems. The Department will continue to explore commercial solutions for system components that are reliable and have a history of successful implementations. These solutions will be purchased and utilized in areas where the Department does not have expertise.

Custom development gives the Department the best chance to implement a system that will be beneficial to all stakeholders. This approach will ensure that the system will be built according to the requirements, laws, rules, and policies of DHSMV and the State of Florida. There is risk associated with any project; however, management of risk, regardless of the approach, will require diligent project management and careful requirements analysis. The Department is confident that custom development provides the best opportunity for success.

## D. Functional and Technical Requirements

### 1. Functional Business Requirements

#### a. Driver License Issuing System

Issuance activities include the steps necessary to establish identity and issue a credential or privilege for a person. Issuance activities involve direct issuance of the credential or privilege by the Department, or support of agents who issue on the Department's behalf. The Department's organizational structure has three bureaus that perform issuance activities:

- The **Bureau of Credentialing Services** is responsible for issuance of all department issued credentials. This includes, but is not limited to, driver license, identification cards, motor vehicle titles and registrations, and confidential records.
- The **Bureau of Issuance Oversight** is responsible for supporting the agents that issue credentials on the Department's behalf as well as performing limited special-circumstance issuance. Activities include driver license central issuance policy setting, agent training, and inventory management.
- The **Bureau of Commercial Vehicle and Driver Services** is responsible for commercial driver license issuance support services in addition to other services required by the Department's commercial customers.

While the eight objectives outlined in Section I.A are important to all of the functions, five objectives are of particular importance to Issuance:

1. Single View of the Customer
2. Utilize Real-Time Interfaces
3. Streamline Data Entry
4. Track Transaction Accountability
5. Meet Legal Requirements

The business requirements to meet these objectives and support this functional area include:

- The system shall provide a consolidated view of customer data. This includes, but is not limited to, core customer data, driver licenses held, vehicles registered, traffic violations, sanctions, crashes, insurance information, and contact history. This also includes real-time access to national databases to verify social security numbers, legal presence documents, and motor vehicle and driver records, and eligibility status from other jurisdictions.
- The system shall provide the ability to edit a transaction until the point where the credential is issued.
- The system shall provide the ability to suspend a transaction and return to it within the same day.
- The system shall provide the ability to verify legal presence documentation with the Department of Homeland Security's database.
- The system shall provide access to all functions necessary to complete an issuance transaction from within the customer view, including verification of driver school completion, third-party testing waivers, etc.
- The system shall provide the ability to complete multiple transactions under a single payment.

- The system shall support cashiering functions and integration with the Department's finance and accounting package.
- The system will provide an interface that third party cashiering systems used by tax collectors can use for cashiering transactions.
- The system shall provide the ability for the business to change some configuration values without intervention from technology staff.
- The system shall support the issuance of any additional card types as needed in accordance with Federal law.

**b. Customer Portal Phase I**

The existing Virtual Office website will be re-engineered into a Customer Portal web application that gives customers the ability to register for a "MyDMV" account. Once established, the "MyDMV" account will not only grant the customer access to the same services that Virtual Office provides, but will also provide access to new services that were previously unable to be developed due to security constraints of the existing Virtual Office application. These new services should generate additional revenue, provide improved customer service and reduce the volume of people in driver license offices. Planned functionality to exist in the new Customer Portal includes:

- The system will allow customers to renew their driver license, ID card, CDL and CLP
- The system will allow customers to request a replacement driver license, ID card, CDL and CLP
- The system will allow customers to request and pay for their driver transcript which they can print from their personal printer
- The system will allow customers to update their automobile insurance information in order to clear existing sanctions
- The system will allow customers to update their Emergency Contact Information
- The system will give customers the opportunity to subscribe to electronic notification in lieu of paper notification for various correspondence such as renewal notices
- The system will give customers the opportunity to process driver license verification checks
- The system will give customers the ability to monitor a minor child so that they can receive notifications of any changes to the child's license, driver status or withdraw parental consent
- The system will give business customers the ability to monitor an employee so that they can receive notifications of any changes to the employee's license or driver status
- The system will give customers the opportunity to request a clearance letter which they can print from their personal printer
- The system will give customers the ability to pay for and clear certain sanctions without having to visit a DL office
- The system will give customers the ability to pay for and clear CDL Medical disqualifications without having to visit a DL office
- The system shall provide customers with online self-service including DL renewal, and initiate issuance
- The system will give customers the ability to request and pay for BAR Hearings
- The system will give customers the opportunity to submit a motor voter application during a DL issuance transaction
- The system will give customers the ability to view pending citations on their customer record

- The system will give customers the ability to view mailed correspondence online via their portal account

**c. Driver License Record Maintenance**

Driver License record maintenance includes all services related to the back-end compliance, enforcement, and integrity of all driver-related data for a person. Services involve accurate assessment of driver convictions, sanctions and driver records, processing of sexual predator, sexual offender and career offender data, standardizing all driver-related data exchange processes for transcripts and record sales.

- The system will be architected using modern standards-based technologies
- The system will use real-time interfaces where applicable
- The system will use standard data exchange formats
- The system will enforce compliance with all federal and local requirements
- The system will provide enhanced service delivery
- The system will align with current Department business processes

**d. Motor Vehicle Renewal Process**

The system will accommodate different renewal schedules depending on the type of renewal.

**Vehicle and Vessels**

The vehicle and vessel renewal process schedule will allow Tax Collector renewal vendors adequate time to review and process the renewal data.

Renewals for vehicles and vessels should adhere to the following process:

- The system will allow for the creation of sample files with the breakdown of fees.
- The sample records will be tested and approved.
- Once the vehicle and vessel renewal file is approved, the files are available for distribution to their perspective counties.

**Parking Permits**

The parking permit renewals will allow Tax Collector renewal vendors adequate time to review and process the renewal data.

Renewals for parking permits will adhere to the following process and schedule:

- Once the parking permits renewal file is approved, the files are available for distribution to their perspective counties along with the vehicle and vessel renewals.

**Mobile Homes**

The mobile home renewals expire in the month of December. The process schedule will allow tax collector renewal vendors adequate time to review and process renewal data.

Renewals for mobile homes will adhere to the following process and schedule:

- The system will allow for test files and the creation of sample data records with the appropriate breakdown of fees.
- Once the mobile home renewal file is approved, the files are available for distribution to their perspective counties.



### **Delinquent Mobile Homes**

Delinquent Mobile Homes will be pulled separately from the Mobile Home renewal pull. The delinquent mobile home renewals are pulled upon request by county. Delinquent mobile homes will adhere to the following process and schedule:

- The system will allow for test files and the creation of sample data records with the appropriate breakdown of fees.
- Once the delinquent mobile home file is approved, the files are available for distribution to their perspective counties.

### **General Requirements**

The registration renewals are pulled in three different groups: (1) Vehicles and Vessels, (2) Parking Permits, and (3) Mobile Homes.

- Vehicles and Vessels are pulled based on the expiration year and month and the registration type.
- Half-year heavy trucks are pulled based on the expiration year and month.
- Dealer plates are pulled based on the expiration year and month and the registration type.
- Manufacturer plates are pulled based on the expiration year and month and the registration type.
- Parking permits are pulled based on the expiration year and month and the registration type.
- Non-delinquent Mobile Homes are pulled based on the expiration year and month and the vehicle type.
- Delinquents are pulled based on the expiration year and month and the vehicle type.
- Certain vehicles will be excluded from the renewal pull.
- The vendor renewal file and parking permit file will use an XML and JSON file format.
- Driver License renewal eligibility status indicator will be included in the renewal file.
- The system will track vendor information such as the counties for which a vendor processes renewals and vendor contact information.
- The system will track county information such as contact information.
- The system will provide functionality to retrieve information sent in a renewal file.
- The system will provide functionality to inquire by plate and view a breakdown of the fees.
- The system will provide the ability to track the county to which the renewal notice was delivered.
- The system will provide functionality to track the vendor the renewal was sent to, along with the date and time.
- The process will provide a notification to counties if the renewal file is delayed.
- The system will provide a method to redistribute renewal data.
- The system will use the common fee engine to calculate all related renewal fees.

#### **e. Driver License Renewal Process**

- The driver license renewals will be pulled approximately three months prior to their renewal expiration.
- The system will verify that an image exists for the customer on the image database.
- The system will determine whether the customer is eligible to receive a convenience renewal notice or an in-office renewal notice.

- The system will determine if a medical/vision certification is required.
- The system will determine if a military extension is required.
- The renewal file will use an XML file format.
- The system will provide functionality to retrieve information sent in a renewal file.
- The system will provide functionality to inquire by driver license number and view a breakdown of the fees.
- The system will use the common fee engine to calculate all related renewal fees.

2. Technical Requirements

a. System Architecture Context Diagram

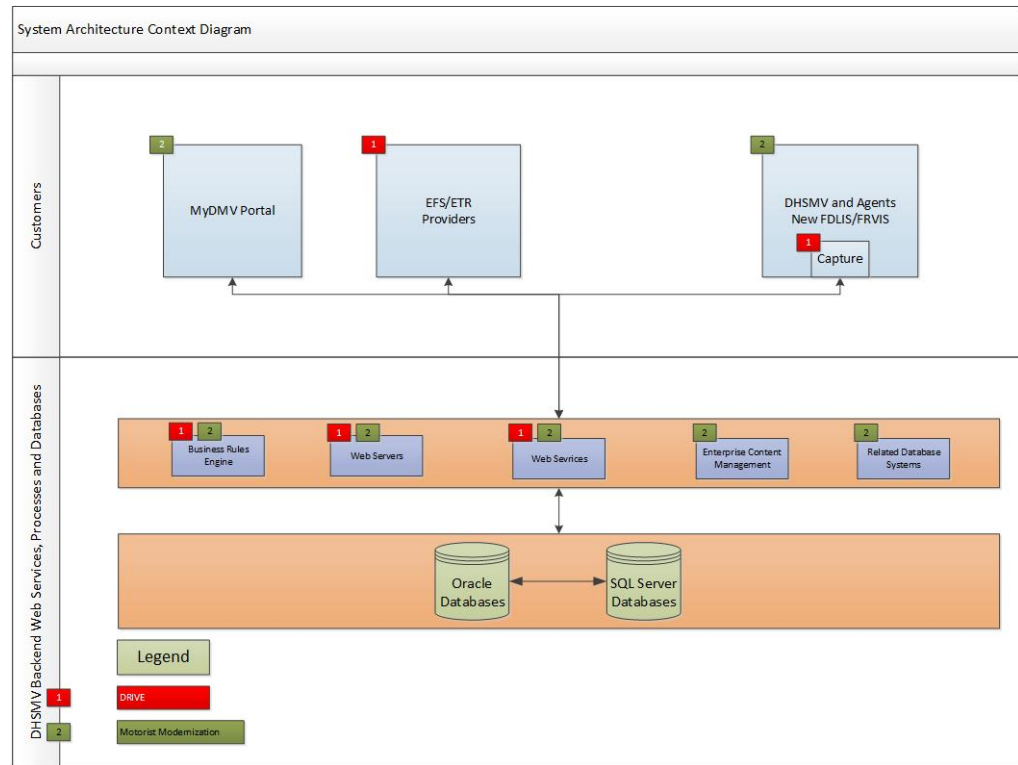


Figure 1-3 – System Architecture Context Diagram

b. System Architecture Model

The System Architecture for the modernized DHSMV systems relies on a modern Service Oriented Architecture (SOA) which consists of four foundational pillars to be implemented over the life of the entire Motorist Modernization effort. Current DHSMV systems were developed in a piecemeal architectural fashion over many years. By creating a foundational model, the Department can assure that future development is based upon the same set of standards and practices. This will ensure that the systems developed now and in the future will be able to communicate with each other in a straightforward manner and that new elements and systems can be seamlessly integrated with existing elements and systems. The four pillars of this architecture are as follows:

1. RESTful (Representational State Transfer) Application Programming Interface (API) – A RESTful API is the core pillar to all other functionality. All communication with Department services, processes, and databases will be

through this API. This is a web service-based model widely used throughout the IT industry that will provide the most flexibility in allowing access by external vendor and partner systems.

2. Business Rules Engine - A business rules engine provides a repository for the Department to house business rules in one place, thus allowing the reuse of the rules across multiple systems without the need for recoding the rules in each system.
3. Internal Department Databases - Consolidation of Department databases will greatly increase the efficiency and usability of the modernized systems. Currently there are multiple instances of customer information across systems. By consolidating customer records into one database, the Department will have a consistent record of the customer which will be the same across the services and systems.
4. Enterprise Content Management (ECM) - Since the modernized systems will rely on many documents provided from different sources, an Enterprise Content Management system is needed. This will provide a consistent, repeatable interface to store and manage documents. Implementation of an ECM is planned in a later phase of Motorist Modernization and will greatly increase the Department's ability to store, retrieve, manage and disseminate documents in an efficient manner.

A RESTful API is the core pillar to all other functionality. All communication with Department services and processes will be through this API. RESTful web services will connect with a Business Rules Engine.

The RESTful API will also communicate directly with the appropriate databases when the required data cannot be accessed through the Business Rules Engine. In addition, the RESTful API will communicate with the Enterprise Content Management System for document storage and retrieval. Below is a diagram of the interrelationships of the pillars and the access points for the system.

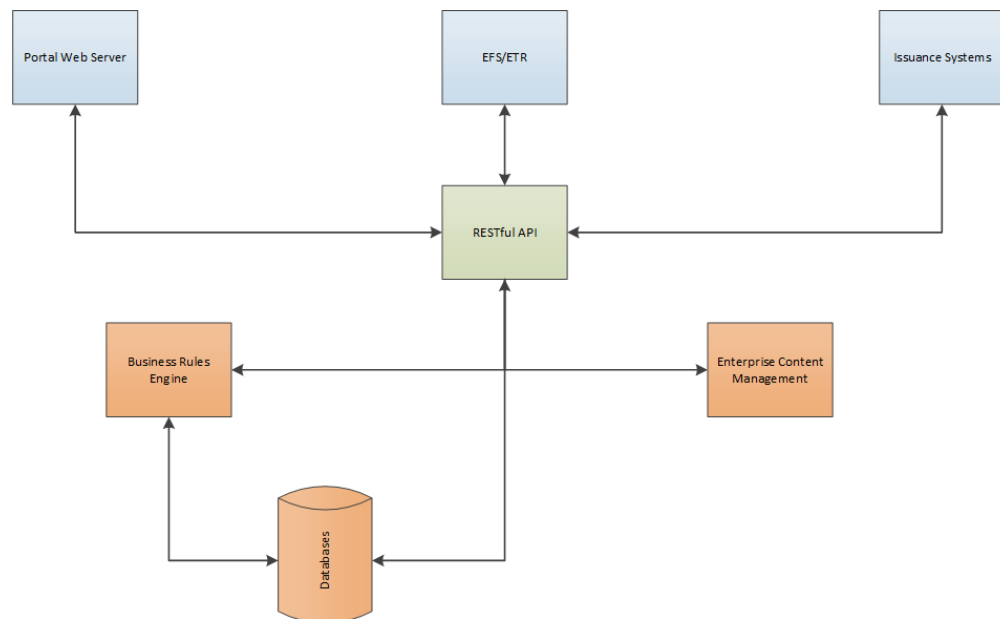


Figure 1-4 – System Architecture Model

**c. Overall Architecture Considerations**

- 1) *Security Strategy* - There are several security components to the modernized system. All communication between endpoints will use Hypertext Transfer Protocol Secure (HTTPS) encryption. Access to the databases will be through parameterized stored procedures. Authentication will be marshalled through a Federated Security Model. Authorization will be based upon application roles. Sensitive data will be appropriately encrypted where necessary and direct access to data in the databases will be managed on an as needed basis.
- 2) *Performance Requirements* - Most communication with the web services in the system will need to be based upon a response time of 2 seconds or less. If there is a need for longer running responses, they will be minimized.
- 3) *Accessibility* - All systems constructed by DHSMV with a User Interface (UI) component designed to comply with appropriate State and Federal guidelines.
- 4) *Concurrent Users* - At any given time during a work week there could be 2,000 to 3,000 concurrent users of the systems and web services.
- 5) *Disaster Recovery* - All data in the modernized systems as well as web based access will comply with and be part of the Department’s Disaster Recovery Plan.

**d. System Architecture Component Definitions**

The **Architecture Component Definitions** section provides narrative describing and explaining each architecture component in the System Architecture Model, and identifies specific elements that comprise that component in this system. The following are examples of architecture components and elements:

<b>Architecture Component</b>	<b>Component Elements</b>
RESTful API	RESTful Web Services written by DHSMV
Business Rules Engine	Server Based Rules Engine DBMS Based Rules Repository Client Authoring Tool
Internal Department Databases	Database Management Systems (DBMS)
Enterprise Content Management	Document Management System
Web Servers	Windows-based web servers
Capture	System used to acquire photographs, signatures, and document images related to issuance
Electronic Filing System /Electronic Temporary Registration (EFS/ETR)	Web Services system for EFS/ETR providers User interface for management of EFS/ETR by DHSMV employees and tax collectors
Issuance Systems	Driver License Issuance Motor Vehicle Issuance (Titles,Tags,Registrations)

Table 1-3 – System Architecture Component Elements

## II. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	All fees associated with driver license transactions are computed within a common fee engine.	In the new system, no access to the old fee routines will be programmed. The new system will compute all driver license associated fees using the new fee engine.	Florida drivers Tax Collectors DHSMV	9/19
2	Increase customer self-service by providing additional driver license services through the MyDMV portal.	The increase in the number of driver license-related service options that are provided in the MyDMV portal. There are currently two self-service options available through Virtual Office – renewals and replacements.  Compare number of service requests provided online - versus those provided by tax collectors and driver license offices.	Florida drivers Tax Collectors DHSMV	9/19
3	Provide additional audit tracking and transaction accountability, through improved history and enhanced reporting capabilities.	Motorist Services will have consolidated tools to review and analyze system activity.	DHSMV Federal Government Law Enforcement	9/19
4	Increase public safety by providing law enforcement real-time access to driver license data.	Driver license photos and records are made available at the time of the transaction rather than at the end of business day.	Law Enforcement Federal Government DHSMV	9/19
5	All fees associated with motor vehicle and driver license renewal notices are computed within a common fee service.	In the new Renewal system, no access to the old fee routines will be programmed. The new system will compute 100% of renewal fees using the new fee service.	Florida drivers Florida motor vehicle owners Tax Collectors DHSMV	9/19
6	Provide real time access into the renewal system.	100% of renewal data will be available for inquiry by tax collector and Department personnel once the monthly renewal data extract is performed	Florida drivers Florida motor vehicle owners Tax Collectors	9/19
7	Reduce transaction processing time by at least 20 seconds per transaction.	The Department will sample transaction processing times and the average the length of time it takes to process on the old system	Florida drivers Florida motor vehicle owners Tax Collectors	9/19

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
		versus the new system	DHSMV	
8	Reduce the number of reprinted cards due to voided transactions per year by 10%.	The Department will determine the total number of voided transactions (by month, per year) and compare to the total number of voided transactions after successful implementation.	Florida drivers Tax Collectors DHSMV	9/19

### III. Benefits Realization and Cost Benefit Analysis

#### A. Benefits Realization Table

The Benefits Realization Table describes the benefits which accrue from implementation, including estimated values computed for the tangible benefits. The tangible benefits are assessed against business conditions and are conservatively estimated.

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
1	<b>Reduced postage and printing costs</b> resulting from the elimination of correspondence for sanctions being handled online would result in an annual savings of <b>more than \$125,000.</b>	Tangible	DHSMV	Reduced postage and paper costs.	DHSMV tracks Pitney Bowes postage and printing costs monthly. In Fiscal Year 19-20, after portal implementation, DHSMV will begin tracking the month-to-month savings in Pitney Bowes postage costs.	100% in FY 2019-20
2	As the batch processes associated with Driver License services are decommissioned, the Department expects its <b>mainframe charges at AST to decrease.</b> Given current rates, the Department projects that AST costs will decrease by <b>approximately \$154,000 annually.</b>	Tangible	DHSMV	Decreased billing from AST.	DHSMV has current hosting/maintenance costs for the mainframe & will track elimination of these costs.	FY 2019-20
3	Avoid additional operating costs that will be necessary once resources are no longer available internally	Tangible	DHSMV and the State	The Department will not have to increase the numbers of contractors that will	DHSMV will monitor how many contracted staff will be required to support the DL Uniface and mainframe	FY 2019-20

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
	to support department systems. The Department projects that operating costs will increase up to <b>\$1.2 million</b> in order to support the DL Uniface infrastructure and mainframe services as the growing system complexity requires more effort to maintain or staff has either retired or elected to move to other development languages.			be needed as staff members leave the unit or the system complexity requires more effort to maintain..	environments.	
4	Workload savings will be achieved through the implementation of the driver license issuance system. Based on gained efficiencies in DL renewal, replacement, and original issuance and those services being moved online, there will be less need to increase the number of staff required to meet increasing service needs. Tax Collector's Offices throughout the state should be able to avoid future increased staffing costs of <b>\$1.5 million</b> . DHSMV	Intangible	DHSMV and tax collectors	Workload Savings generated by system efficiency that shortens or eliminates transaction time (6.3 million transactions per year). This will save DHSMV and TC offices from expanding their workforce as demand grows in coming years.	The Department monitors average transaction time and online transactions allowing for accurate comparison and measurement of gained efficiencies.	FY 2019-20



BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
	should be able to avoid future increased staffing costs of <b>\$580,000</b> .					
5	Replacement of the DL issuance system will reduce the number of voided DL/ID transactions. Currently, the customer does not have the ability to verify all information prior to printing of the driver license or identification card. Once it is printed and the error is found, the examiner has to void the card, make the correction, and then print another card. The Department currently pays \$1.97 per card to the card vendor. A 25% savings would result in an annual reduction of more than 15,000 voids and reprints, and savings of more than <b>\$31,000</b> .	Tangible	DHSMV	The Department will not have as many voided transactions, incurring additional costs	DHSMV tracks how many cards are issued or voided (and the reason for the void).	FY 2019-20
6	The current Virtual Office application does not do sufficient error checking when customers process	Tangible	DHSMV Florida Drivers that	The Department would see increased customer service and a reallocation of	Error reports will be monitored	FY 2019-20

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
	DL transactions online. The customer doesn't know that there was an issue with their transaction, resulting in phone calls to the Department to get a status on their transaction. If these were validated on the front-end during the customer transaction, the customer could make the necessary corrections prior to paying or mail in the appropriate paperwork. The Department would not have to dedicate staff to follow up on these issues and process refund checks. This will result in an annual savings of approximately <b>\$30,000</b> .		conduct business through online services	staff in the DL Issuance unit. Refund checks would not need to be processed.  Florida Drivers would not need to call the Department.		
7	The new DL issuance system is estimated to take significantly less time to process transactions. These gains in efficiency will save customers approximately 480,000 hours waiting in line. This time is estimated have a value in excess of <b>\$9.7 million</b> to our customers.	Tangible	DHSMV Customers	For every transaction time reduced customer wait times are reduced. As these transaction types are very common all customers will see time savings.	DHSMV measures transaction and wait times in its offices.	FY 2019-20

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
8	CDL license renewal and replacement will be available online following completion of Phase 1. This will save those customers who choose the online service a trip to a DL issuance office. Saving them approximately 1 hour. This has a value to those customers in excess of <b>\$1 million.</b>	Tangible	CDL Customers	Moving those CDL transactions online will save those customers a trip to a DL issuance office.	Transactions processed online are measurable and can be compared to the number being processed in offices around the state.	FY 2019-20
9	Customers will have to spend less time in Department or Tax Collector Offices due to efficiencies in the system and services available online: <ul style="list-style-type: none"> <li>Financial Responsibility re-suspensions will be minimized in the new issuance system. Customers will receive a real-time assessment of their sanction status while in the office and avoid being reissued another sanction at a later date.</li> <li>Customers will be able</li> </ul>	Tangible	Customers	Customers will spend less time in Department or Tax Collector Offices, due to the resolution of issues online or during a prior visit.	Transactions processed online are measurable and can be compared to the number being processed in offices around the state.	FY 2019-20

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
	to clear certain sanctions online and generate their clearance letters online in the new system. These efficiencies will generate a value to those customers in excess of <b>\$2.2 million.</b>					

Overall, the Department estimates that the Motorist Modernization Phase I project will return an annual benefit of approximately \$17 million to Department operations, its partners and customers. This does not include the cost avoidance of replacing the system prior to system failure, which would not only impact Department operations, but would also have a significant economic impact on Florida businesses and citizens.

## B. Cost Benefit Analysis (CBA)

CBAForm 1 - Net Tangible Benefits

Agency DHSMV Project Motorist Modernization Phase I

Agency (Operations Only -- No Project Costs)	FY 2014-15			FY 2015-16			FY 2016-17			FY 2017-18			FY 2018-19		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
<b>A. Personnel -- Total FTE Costs (Salaries &amp; Benefits)</b>	\$3,164,822	\$0	\$3,164,822	\$3,164,822	\$0	\$3,164,822	\$3,404,822	\$0	\$3,404,822	\$3,404,822	\$0	\$3,404,822	\$3,664,822	\$0	\$3,664,822
<b>A.b Total FTE</b>	36.50	0.00	36.50	37.50	0.00	37.50	38.50	0.00	38.50	39.50	0.00	39.50	39.50	0.00	39.50
<b>A-1.a. State FTEs (Salaries &amp; Benefits)</b>	\$2,744,822	\$0	\$2,744,822	\$2,744,822	\$0	\$2,744,822	\$2,744,822	\$0	\$2,744,822	\$2,744,822	\$0	\$2,744,822	\$2,744,822	\$0	\$2,744,822
<b>A-1.b. State FTEs (# FTEs)</b>	34.50	0.00	34.50	34.50	0.00	34.50	34.50	0.00	34.50	34.50	0.00	34.50	34.50	0.00	34.50
<b>A-2.a. OPS FTEs (Salaries)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>A-2.b. OPS FTEs (# FTEs)</b>	0.00	0.00	0.00	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>A-3.a. Staff Augmentation (Contract Cost)</b>	\$420,000	\$0	\$420,000	\$420,000	\$0	\$420,000	\$660,000	\$0	\$660,000	\$660,000	\$0	\$660,000	\$920,000	\$0	\$920,000
<b>A-3.b. Staff Augmentation (# of Contract FTEs)</b>	2.00	0.00	2.00	3.00	0.00	3.00	4.00	0.00	4.00	4.00	0.00	4.00	5.00	0.00	5.00
<b>B. Data Processing -- Costs</b>	\$1,166,989	\$0	\$1,166,989	\$1,687,920	\$0	\$1,687,920	\$1,687,920	\$0	\$1,687,920	\$1,687,920	\$0	\$1,687,920	\$1,687,920	\$0	\$1,687,920
<b>B-1. Hardware</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>B-2. Software</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>B-3. Other SSRC/NSRC</b>	\$1,166,989	\$0	\$1,166,989	\$1,687,920	\$0	\$1,687,920	\$1,687,920	\$0	\$1,687,920	\$1,687,920	\$0	\$1,687,920	\$1,687,920	\$0	\$1,687,920
<b>C. External Service Provider -- Costs</b>	\$99,784	\$0	\$99,784	\$68,318	\$0	\$68,318	\$68,318	\$0	\$68,318	\$68,318	\$0	\$68,318	\$68,318	\$0	\$68,318
<b>C-1. Consultant Services</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-2. Maintenance &amp; Support Services</b>	\$99,784	\$0	\$99,784	\$68,318	\$0	\$68,318	\$68,318	\$0	\$68,318	\$68,318	\$0	\$68,318	\$68,318	\$0	\$68,318
<b>C-3. Network / Hosting Services</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-4. Data Communications Services</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-5. Other</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>D. Plant &amp; Facility -- Costs (including PDC services)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E. Others -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E-1. Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E-2. Travel</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E-3. Other</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total of Operational Costs (Rows A through E)</b>	\$4,431,595	\$0	\$4,431,595	\$4,921,060	\$0	\$4,921,060	\$5,161,060	\$0	\$5,161,060	\$5,161,060	\$0	\$5,161,060	\$5,421,060	\$0	\$5,421,060
<b>F. Additional Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0	
<b>F-1.</b>		\$0			\$0			\$0			\$0			\$0	
<b>F-2.</b>		\$0			\$0			\$0			\$0			\$0	
<b>F-3.</b>		\$0			\$0			\$0			\$0			\$0	
<b>Total Net Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBA Form 1B		
Choose Type	Estimate Confidence	Enter % (-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	80%
Placeholder <input type="checkbox"/>	Confidence Level	

Schedule IV-B Motorist Modernization Phase I

DHSMV Motorist Modernization Phase I			CBA Form 2A Baseline Project Budget																
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.			FY2014-15			FY2015-16			FY2016-17			FY2017-18			FY2018-19			TOTAL	
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	FY2014-15		FY2015-16		FY2016-17		FY2017-18		FY2018-19		FY2018-19		TOTAL			
				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
			\$ 816,864														\$ 47,777,006		
Costs for all state employees working on the project.	FTE	S&B	\$ 378,864			\$ 756,691			\$ 1,049,889			\$ 3,047,801			\$ 2,852,379		\$ 10,615,447		
Costs for all OPS employees working on the project.	OPS	OPS	\$ -			\$ 42,630			\$ -			\$ -			\$ -		\$ 42,630		
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ 396,000	12.00	\$ 1,514,782	\$ 396,000	26.00	\$ 5,173,749	\$ 396,000	46.00	\$ 7,610,000	\$ 396,000	48.00	\$ 7,920,000	\$ 396,000	39.00	\$ 6,390,000	\$ 396,000	\$ 30,984,511
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -			\$ -	2.00	\$ 325,984	\$ -	2.00	\$ 566,000	\$ -	2.00	\$ 566,000	\$ -	2.00	\$ 566,000	\$ -	\$ 2,023,984
Project oversight (I&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -			\$ 619,222			\$ 468,480			\$ 500,000			\$ 500,000		\$ 500,000		\$ 2,587,702
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -			\$ -			\$ -			\$ -			\$ -		\$ -		\$ -
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -			\$ -			\$ -			\$ -			\$ -		\$ -		\$ -
Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ -			\$ -			\$ 31,895			\$ 1,751			\$ 6,775		\$ -		\$ 40,421
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -			\$ 61,210			\$ 250,400			\$ 21,600			\$ 815,000		\$ -		\$ 1,148,210
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -			\$ -			\$ -			\$ -			\$ -		\$ -		\$ -
All first-time training costs associated with the project. Include the quote received from the PDC for project equipment and services. Only include one-time project costs in this row. Recurring, project-related PDC costs are included in CBA Form 1A.	Training	Contracted Services	\$ -			\$ -			\$ -			\$ -			\$ -		\$ -		\$ -
	Data Center Services - One Time Costs	PDC Category	\$ -			\$ -			\$ 82,101			\$ -			\$ -		\$ -		\$ 82,101
Other project expenses not included in other categories. Include costs for non-PDC equipment required by the project and the proposed solution (detail).	Other Services	Contracted Services	\$ -			\$ -			\$ -			\$ -			\$ -		\$ -		\$ -
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -			\$ -			\$ -			\$ -			\$ -		\$ -		\$ -
Other project expenses not included in other categories.	Other Expenses	Expense	\$ 42,000			\$ -			\$ 50,000			\$ 50,000			\$ 50,000		\$ 80,000		\$ 272,000
<b>Total</b>			\$ 816,864	12.00	\$ 2,195,194	\$ 1,195,321	28.00	\$ 6,362,609	\$ 2,045,889	48.00	\$ 8,749,351	\$ 3,443,801	50.00	\$ 9,857,775	\$ 3,248,379	41.00	\$ 7,536,000	\$ 2,325,823	\$ 47,777,006

Note: The Motorist Modernization Project will complete pilot and production implementation in Fiscal Year 2019-20 and will require the following funding for project completion.

	Base Budget	Legislative Budget Request
Salaries and Benefits	\$256,463	
Contracted Services	\$99,042	\$1,823,620
<b>Total</b>	<b>\$355,505</b>	<b>\$1,823,620</b>

CBAForm 2 - Project Cost Analysis

Agency DHSMV

Project Motorist Modernization Phase I

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	
TOTAL PROJECT COSTS (*)	\$3,390,515	\$8,408,498	\$12,193,152	\$13,106,154	\$9,861,823	\$47,777,006
CUMULATIVE PROJECT COSTS <i>(includes Current &amp; Previous Years' Project-Related Costs)</i>	\$4,207,379	\$12,615,877	\$24,809,029	\$37,915,184	\$47,777,006	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$3,390,515	\$8,408,498	\$10,640,272	\$11,763,113	\$9,422,252	\$43,624,650
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL INVESTMENT</b>	\$3,390,515	\$8,408,498	\$10,640,272	\$11,763,113	\$9,422,252	\$43,624,650
<b>CUMULATIVE INVESTMENT</b>	\$3,390,515	\$11,799,013	\$22,439,285	\$34,202,398	\$43,624,650	

Characterization of Project Cost Estimate - CBAForm 2C		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	
Placeholder	Confidence Level	

CBAForm 3 - Project Investment Summary

Agency DHSMV

Project otorist Modernization Phas

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	TOTAL FOR ALL YEARS
Project Cost	\$3,390,515	\$8,408,498	\$12,193,152	\$13,106,154	\$9,861,823	\$47,777,006
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$4,207,379)	(\$8,408,498)	(\$12,193,152)	(\$13,106,154)	(\$9,861,823)	(\$47,777,006)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment cost of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment cost are recovered.
Net Present Value (NPV)	(\$42,147,169)	NPV is the present-day value of the project's benefits less cost over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

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

As the project extends into Fiscal Year 2019-20, the "payback" for the project is not reflected in the above table. Overall, the Department estimates that the Motorist Modernization Phase I project will return an annual benefit of approximately \$17 million to Department operations, its partners and customers. This does not include the cost avoidance of replacing the system prior to system failure, which would not only impact Department operations, but would also have a significant economic impact on Florida businesses and citizens.



## IV. Schedule IV-B Major Project Risk Assessment

### A. Risk Assessment Summary

Figure 4-1 – Risk Assessment Summary is a graphical representation of the results computed by the risk assessment tool. It shows that the Motorist Services Driver Related Issuance and Vehicle Enhancements program achieves solid business strategy alignment. However, as would be expected at this early stage, the program still carries high risk. It is expected that overall project risk will diminish when low-level program requirements have been documented. The results of this risk assessment are discussed in detail in the Project Management Section 6.H along with the Department’s plan to continually identify, assess, and mitigate risk throughout the life of the program.

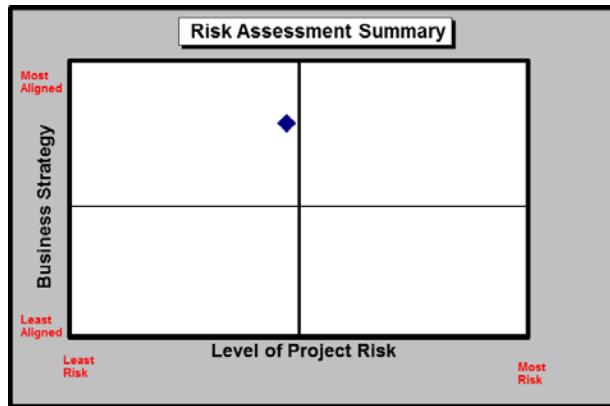


Figure 4-1 – Risk Assessment Summary

Figure 4-2 – Risk Area Breakdown illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. The results of this risk assessment are discussed in detail in Program Management Section 6.H along with the Department’s plan to continually identify, assess, and mitigate risk throughout the program lifecycle.

Project Risk Area Breakdown	
Risk Assessment Areas	Risk Exposure
Strategic Assessment	MEDIUM
Technology Exposure Assessment	MEDIUM
Organizational Change Management Assessment	MEDIUM
Communication Assessment	LOW
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	LOW
Project Complexity Assessment	HIGH
<b>Overall Project Risk</b>	<b>MEDIUM</b>

Figure 4-2 – Risk Area Breakdown

## V. Schedule IV-B Technology Planning

### A. Current Information Technology Environment

The current technology environment has evolved over the past 41 years. Older technologies have been modified and newer technologies have been added incrementally to reflect changes in the Department’s organization, statutory mandates and customer expectations. As a result, the current technical environment is multi-layered, uses numerous applications, databases and programming languages, and requires many people with a wide breadth of skill sets to maintain. Figure 5-1 – Current Technology Environment illustrates the rigid infrastructure and redundancy of the current technology environment.

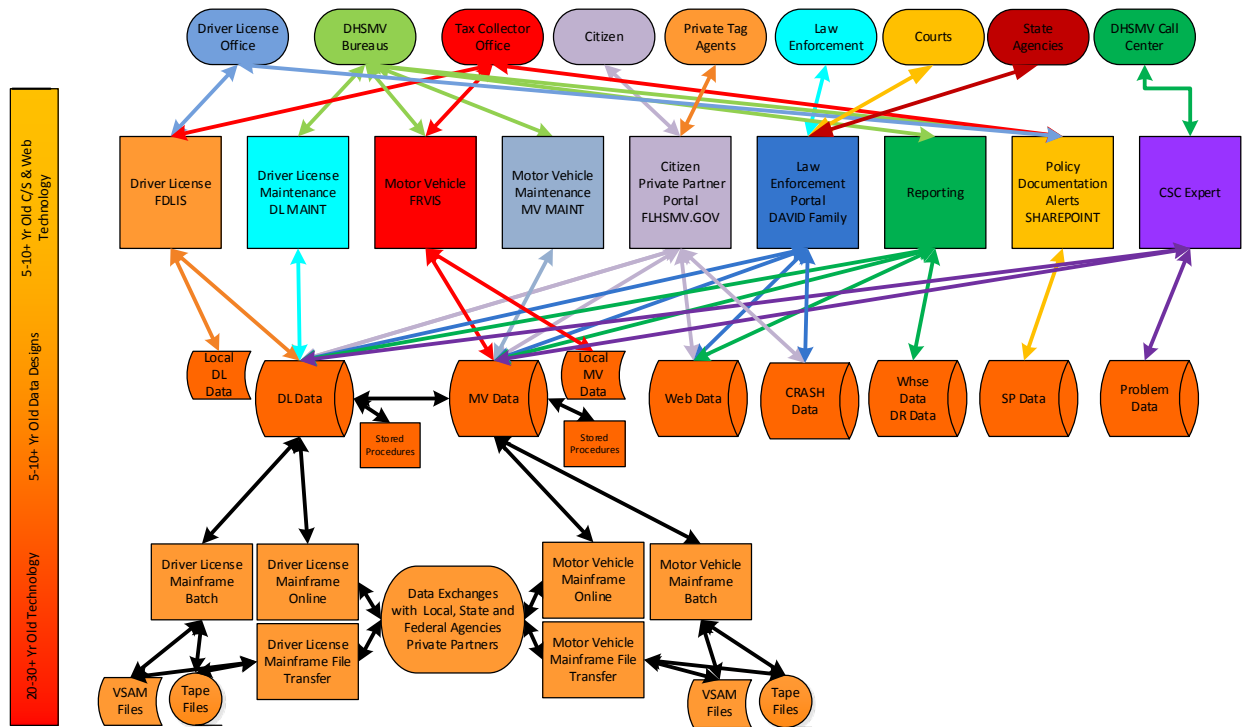


Figure 5-1 – Current Technology Environment

#### 1. Current System

##### a. Background

In 1969, when the Department was created by the merging of the Department of Public Safety and Department of Motor Vehicles, issuance was a manual process. Mainframe systems utilizing batch technology were later added, one for the Driver License Division and one for the Motor Vehicle Division. In 1997, the current driver license system, Florida Driver License Information System (FDLIS), was implemented using the Compuware Uniface client-server architecture, introducing the need to install a server in each of the field offices. In 1999, the motor vehicle system, Florida Real Time Vehicle Information System (FRVIS), was implemented with the same architecture, but kept as a separate system, also requiring a field office server. Both systems continued to rely heavily on batch programs for processing, with online transactions originating in field offices during the day and batch processing of the information in the central databases at night.

Over the years, the Department has added functionality to the systems to support new mandates. Various “point solutions” were purchased to address specific needs. For example, Cogent provided finger-printing capabilities for commercial driver licenses, Q-matic enabled customer queue management in the field offices, and OASIS allowed centralized appointment management for the field offices. Many other examples could be cited. These modifications and additions added incrementally to the complexity of the environment.

Subsequent to FRVIS being developed, the Department recognized the benefit of having a single view of the customer. More recently, as tax collectors began issuing driver licenses, the demand for a single view of the customer increased. The separate nature of FRVIS and FDLIS has placed serious limitations on the business and prevents a seamless integration of services.

The Department developed Virtual Office in 2005, which provided a consolidated interface into both systems. An address change was entered once and updated in both FRVIS and FDLIS. The Department also began to investigate ways to make the systems function more as a single entity by using database technology to synchronize Customer data between the driver license and motor vehicle databases. This does create a single customer data view but also introduces data integrity issues (timing and complexity of updates) between the driver license and motor vehicle databases.

Tax Collectors have continued to request new functionality such as reports, enhanced interface features, and the ability to interface with existing cashiering or document management systems. Tax Collector requests account for a third of the total system upgrades or modification requests that are handled by ISA.

The evolution of the driver license and motor vehicle systems over time has led to a technical environment that is multi-layered, uses numerous different technologies and requires many people with diverse skill sets to maintain. These include platform environments, database environments, and programming languages. There are more than 30 different technical environments that must be supported by the technical staff. Many of the modification requests and projects require changes across the various technology environments which increase the duration of project implementations. There are more than 400 existing requests for modifications and multiple projects affecting the systems. Statute and business rule changes continue to generate requests and projects to modify the systems, adding to the technical complexity. Implementation timelines for the modification requests and projects may remain lengthy, and the ability to meet the customer’s needs may be impacted.

**b. Description of current system**

The current technical environment consists of eight major systems supported by seven different repositories comprised of multiple databases and platforms, a dozen “point solutions”, and 47 web applications. In addition, nearly 2,800 batch jobs, 1,900 batch programs, and over 17,000 stored procedures interact with driver license and motor vehicle data. Mainframe online transaction services, print services, and file transfer protocol (FTP) services move data from system to system, update or print driver license and motor vehicle data, or transfer data to/from external sources. More than 20 programming languages are used to maintain these systems on approximately a dozen different platform environments. Figure 5-2 - Current System Overview depicts the current system infrastructure.

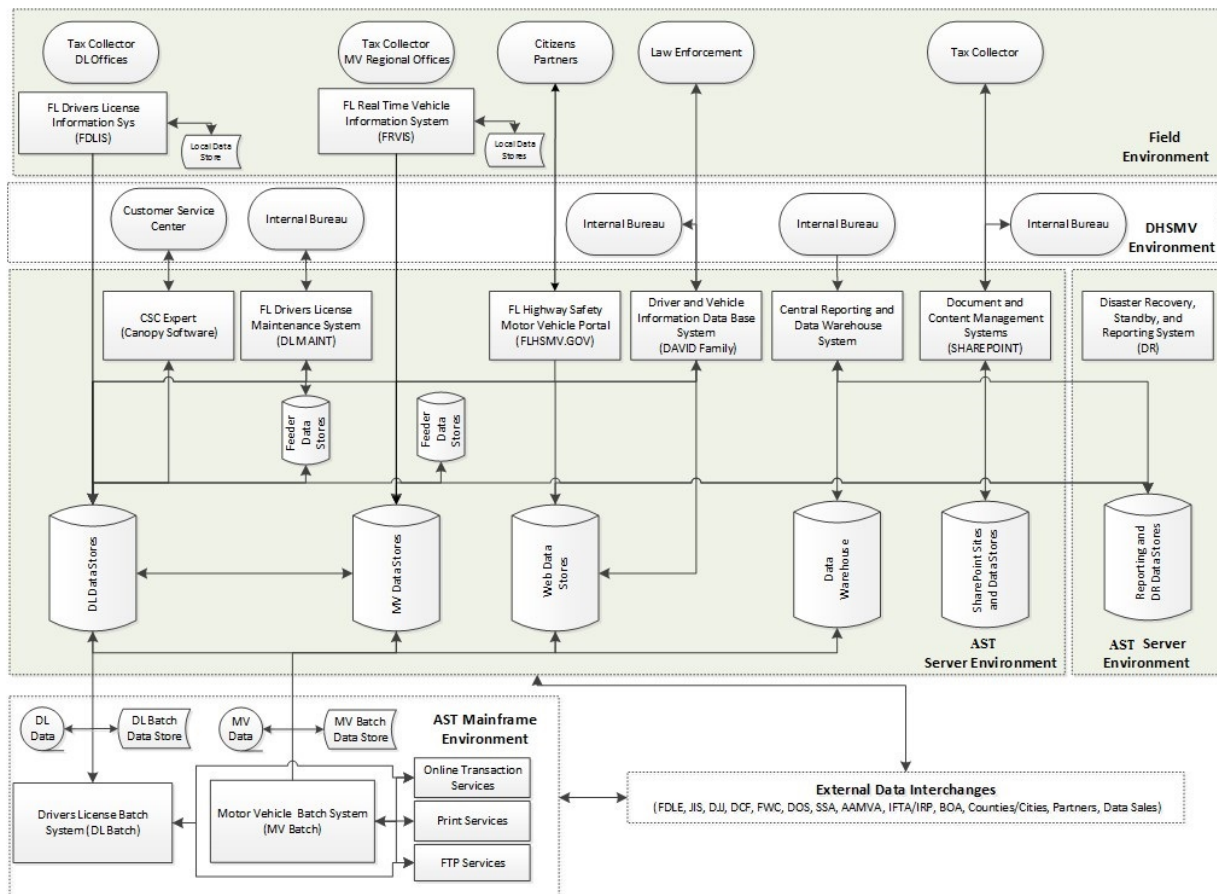


Figure 5-2 – Current System Overview

The cornerstones of the current technology environment are two information systems – FDLIS for driver licenses and FRVIS for motor vehicles. These systems are used to perform credentialing functions by county tax collectors, state driver license offices, state motor vehicle regional offices, private partners and DHSMV bureaus. This includes the issuance and maintenance of driver licenses and identification cards, and the titling and registration of motor vehicles, vessels, and mobile homes. These systems also provide the ability to collect fees and distribute revenue.

In addition to FDLIS and FRVIS, the other major systems are:

- **DL Maintenance/Motorist Maintenance** - used by internal DHSMV bureaus to update driver license records and add citations directly in the driver license database.
- **The Florida Highway Safety Motor Vehicle Portal/Website (FLHSMV.GOV)** - used by citizens and private partners to access/make limited edits to driver license and motor vehicle information and initiate some self-service transactions.
- **The Central Reporting and Data Warehouse System** - used by internal DHSMV Bureaus to produce many different types of reports used internally and to respond to requests from the public.
- **CSC Expert System** - used to track contact information from the Customer Service Center

- **The Driver and Vehicle Information and Database System (DAVID)** - a family of applications used by law enforcement, State agencies (e.g., Dept. of Children and Families for child and adult protective investigators), Department of State for voter information, internal DHSMV Bureaus, and the courts to access driver license and motor vehicle information.
- **The SharePoint Content and Document Management Systems** - used by internal bureaus and tax collectors to store driver and motor vehicle documents and content.

FDLIS, FRVIS, CSC Expert, DAVID and FLHSMV.GOV are supported by three databases, one for FDLIS, one for FRVIS, and one for the two web applications (DAVID and FLHSMV.GOV). These databases operate separately, yet hold similar data on DHSMV customers. To reduce duplication, a custom built synchronization process runs between the databases to copy limited driver information, but discrepancies between the databases are found regularly. "Feeder" databases are used to store signatures, pictures, fingerprints and other scanned documents.

Both FDLIS and FRVIS require a local server to run in the State field offices and tax collectors offices. In the field, these applications run from their local databases, and then the data is uploaded to the central office on a periodic basis. This means that approximately 436 servers are maintained in the field by the Department, that data is stored in over 1,500 different databases in the field, and updates to these systems must be promoted to 436 different locations when a new version is released.

### 1) Driver License Overview

The Division of Motorist Services, in conjunction with the county tax collectors and other private partners, establishes driver identity, licenses (regular, commercial or motorcycle) qualified drivers, issues identification cards, and maintains driver records. It is the official custodian of Florida driver license records.

The majority of driver license transactions are performed in driver licenses field offices or tax collector offices. The technical environment in driver licenses field offices consists of FDLIS, a client/server application executing in the tax collector or driver license office, enables the basic driver licensing process workflow, and stores specific driver license information (including vision and skills test results) on the local office server in a SOLID database. At different intervals, the scan, image, driver, and card control information on the local server is sent to the central driver license databases DL PROD, DL IMAGE, DL SCAN, and FLIMS.

DHSMV bureaus use the Driver License Maintenance System (DL MAINT/MOTORIST MAINT) to view and update driver records. For example, first time driver license identification for citizens or non-citizens is done by a DHSMV bureau.

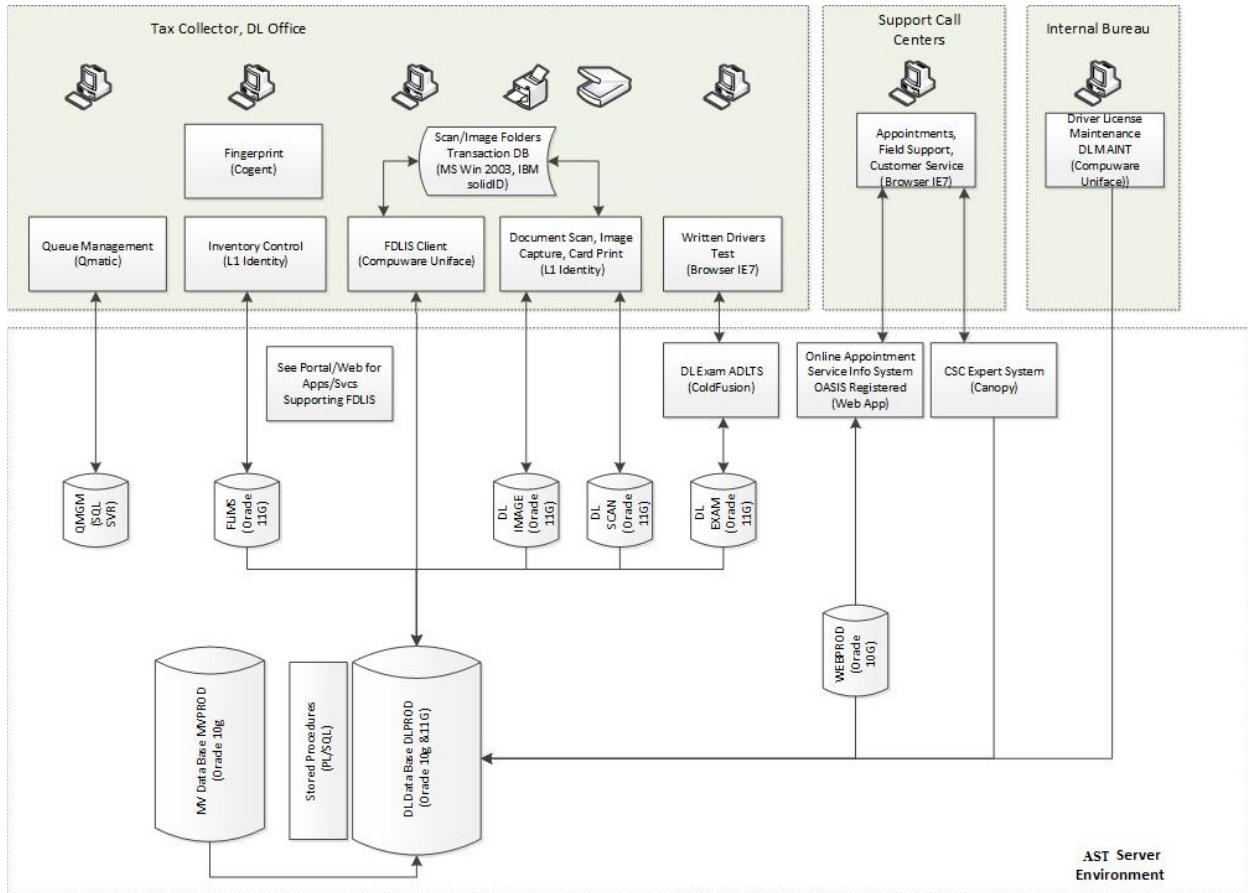


Figure 5-3 – DL System Overview

## 2) Driver License and Motor Vehicle Renewals Overview

The Division of Motorist Services currently process driver licenses renewals. The following Motor Vehicle renewals are processed in conjunction with the county tax collectors:

1. Vehicles and vessels
2. Parking permits
3. Mobile homes
4. Delinquent mobile homes

The schedules for renewal notifications vary depending on the renewal type. This provides tax collector renewal vendors' adequate time to review and process the renewal data. For example, vehicles, vessels, and parking permits are pulled approximately three months prior to their renewal period. Mobile homes are pulled approximately four months in advance, and delinquent mobile home renewals are pulled separately from general mobile home renewals upon request by county.

DL renewal notifications originate with DHSMV, where eligibility must be revalidated (DLPROD) and addresses verified prior to printing. Once complete, the data is sent on to Pitney Bowes for printing and mail out to the customers.

After a customer receives their renewal notice, they then mail their DL renewal directly to the Department of Revenue (DOR) for processing. The Department contracts with DOR for the high speed processing of renewals. Once processed, DOR sends the file to DHSMV for printing and revenue collection. Driver licenses are processed via the Central Issuance Processing System (CIPS) and then sent on to Pitney Bowes for distribution. Figure 5-4 illustrates the DL renewal process.

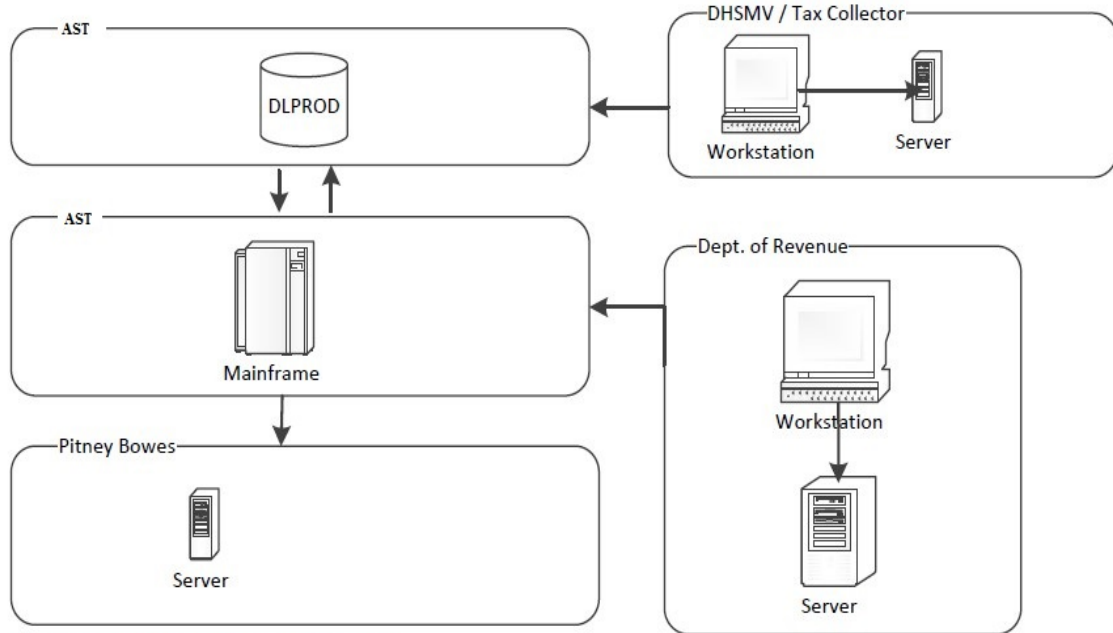


Figure 5-4 – DL Renewal System Overview

The Department initiates the MV renewal process by pulling a flat file of all eligible renewals three months prior to respective expiration dates. Vehicles, vessels, and parking permits are often referred to as date of birth (DOB) renewals. Mobile homes and delinquent mobile homes are pulled in August, as the expiration date for these is always December.

Once the files are pulled, the Department validates the records to ensure there are no stops or other issues with the records that would prevent a renewal. Addresses are then verified and fees are calculated.

Once calculated, a sample of each fee type is extrapolated, examined, and validated internally. If the fees are all determined to be good, the Department then notifies the AST all is valid, and the files can be released via FTP to the vendors for printing and distribution. When customers receive their renewal notification, they can then go online through Virtual Office or mail in their renewal to their tax collector for processing. Figure 5-5 illustrates the MV renewal process.

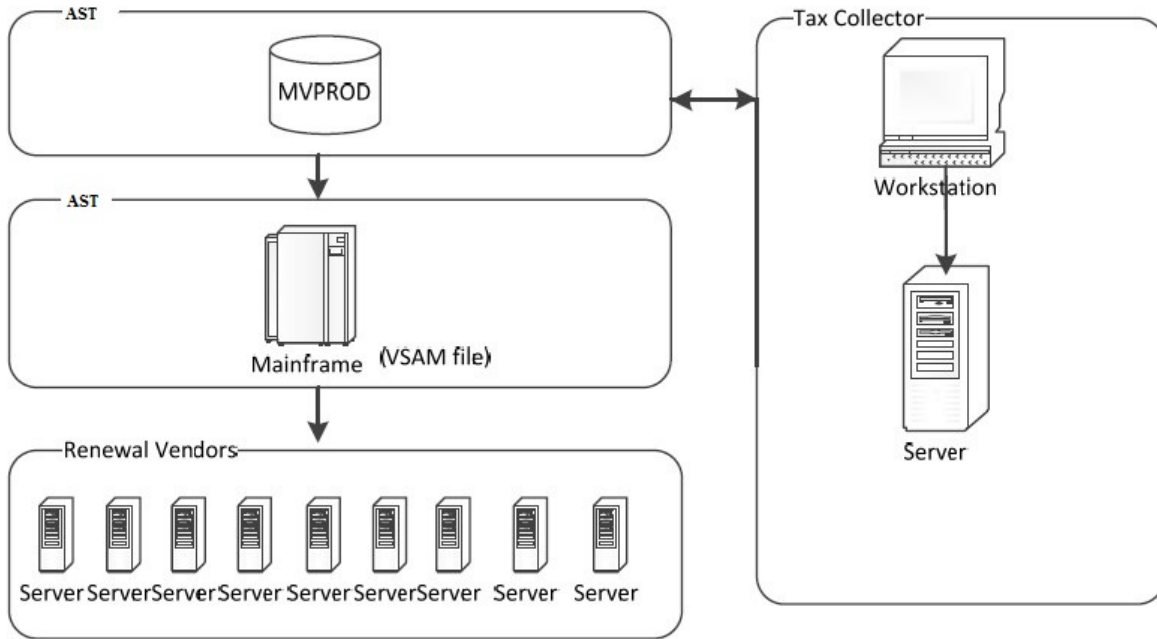


Figure 5-5 – MV Renewal System Overview

### 3) Florida Highway Safety Motor Vehicle Portal/Website (FLHSMV.GOV) Overview

The Florida Highway Safety Motor Vehicle Portal/Website (FLHSMV.GOV), related web applications, and web services are used by citizens, private partners, driver license offices, motor vehicle offices, and county tax collectors to access driver license and motor vehicle information (DL PROD and MV PROD) and initiate self-service transactions. The database WEB PROD is used to store website transaction information.

The web applications and services can be segmented into three categories: those used to support online access by the public, those used to support FDLIS or FRVIS processing, and those used to support both FDLIS and FRVIS processing.



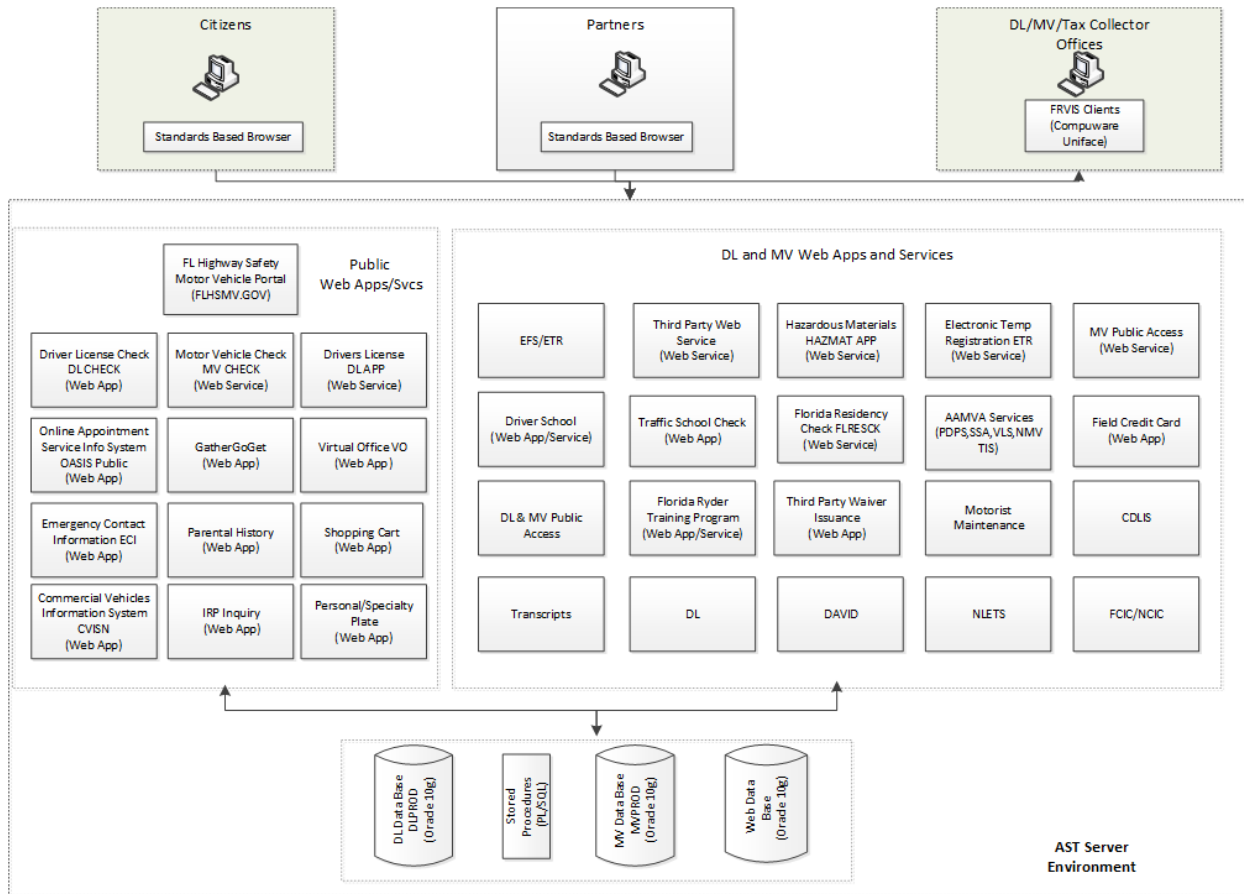


Figure 5-6 – Portal/Web System Overview

#### 4) Disaster Recovery, Standby, Data Warehouse and Reporting System Overview

For disaster recovery, standby, and backup purposes, DL PROD, MVPROD, WEB PROD, DL IMAGE, DL SCAN, FLIMS, and DL EXAM are replicated real-time from the AST environment to the disaster recovery/standby environment. When a disaster is declared, access to driver license and motor vehicle information will be granted to citizens and law enforcement through the web application and DAVID respectively. The AST and disaster recovery/standby environments are in separate cities.

Backup tapes with a periodic offsite rotation are created from the AST environment databases.

The tax collector, driver license, and motor vehicle field offices are governed by site specific local office disaster recovery/backup policies and procedures. This means that the Department has limited control over the continuity of the data in the field.

Operational reports are embedded in the FDLIS and FRVIS applications. Business intelligence reports are produced from the data warehouse. Long running query reports are produced from the replicated disaster recovery/standby databases.

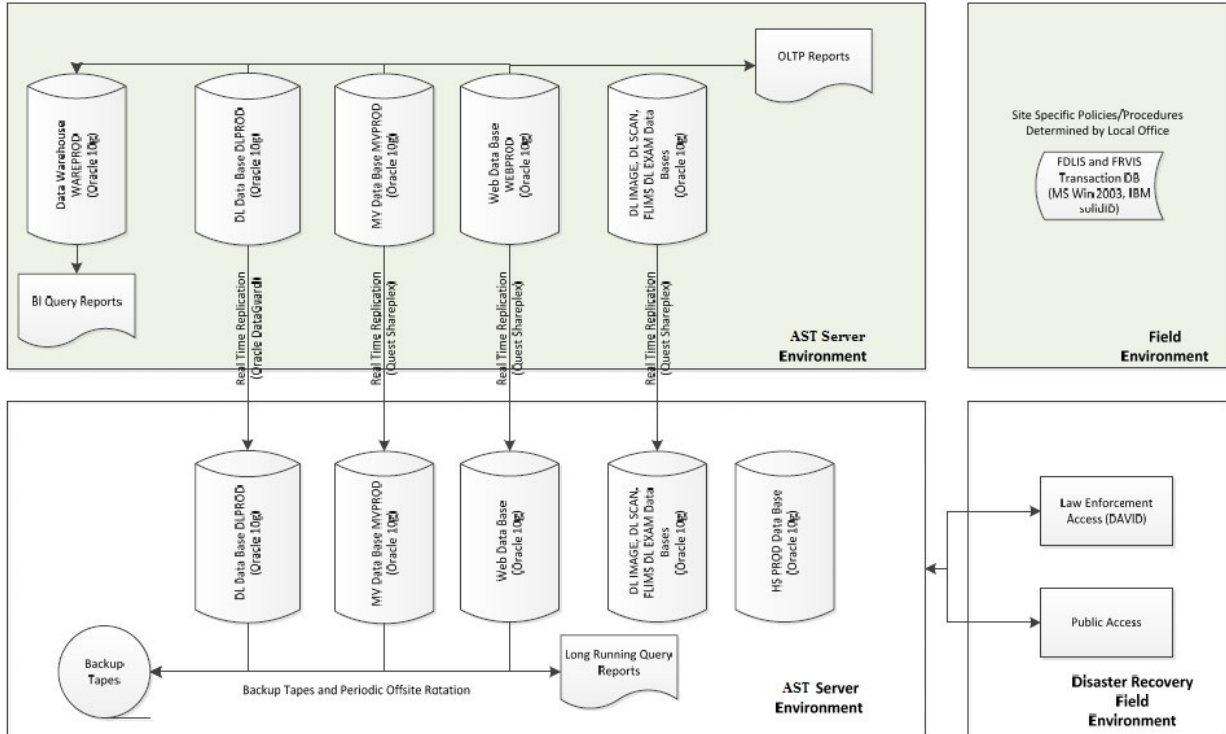


Figure 5-7 – DR, Data Warehouse, and Reporting System Overview

**c. Current system resource requirements**

The resource requirements for the systems that will be re-engineered by the Motorist Modernization Phase I project are:

<b>System</b>	<b>Hardware Platform</b>	<b>Software Platform</b>	<b>Database Platform</b>	<b>Program Languages</b>	<b>Key Staffing Requirements</b>
<b>FDLIS</b>	HP Proliant ML 350 G6/Dell Poweredge 2620	Windows 2008R2	IBM SolidID, Oracle 11g, Oracle 10g, SQL SVR	Uniface, CIC, COBOL, Unix scripts, C, PL/SQL	Programming Platform Motorist Support Platform Systems (AD) Network Database Business Applications
<b>DL Mainframe</b>	IBM z114	CIC, z/OS 1.13	Oracle 10g, VSAM & flat files	COBOL, Secure FTP, Unix scripts, CICS, FOCUS, Uniface, PL/SQL	Agency for State Technology (AST) Data Center
<b>FRVIS*</b>	HP Proliant ML 350 G6/Dell Poweredge 2620	Windows 2008R2	IBM SolidID, Oracle 10g	Uniface, COBOL, Uniface/Windows servers, C, Visual Basic, Rational Application Developer (RAD), IBM Exchange Mailbox	Programming Platform Motorist Support Platform Systems (AD) Network Database Business Applications
<b>MV Mainframe*</b>	IBM z114	CIC, z/OS 1.13	Oracle 10g, VSAM & flat files	COBOL, Secure FTP, C, Unix scripts, CICS, Uniface, PL/SQL, Uniface/Windows servers, Visual Basic, Rational Application Developer (RAD), Mainframe FTP, SQL, FTP,	AST Data Center
<b>FLHSMV.gov</b>	Dell 2850/2950	Sun v 7.5 Windows 2003 Pac 2	Oracle 10g	ECLIPSE, HTML, JavaScript, FileZilla, Cold Fusion	Programming
<b>Renewals</b>	IBM z114	COBOL, z/OS 1.13	Oracle 10g	COBOL, Elixir, PL/SQL	Host Services AST Data Center Pitney Bowes Dept. of Revenue

\*Note: FRVIS Will not be re-engineered, but will be impacted by re-engineering the renewals process.

**Table 5-1 – Current System Resources**

Support costs for the driver license issuance technology systems are approximately \$5.3 million annually, which includes salaries and benefits, contracted services, software licensing, data center services, and data exchange services. These costs not include any hardware/software costs that are included in the current driver license issuance contract that provides card stock, printers, and software for driver license and identification card issuance services statewide and are embedded in the per card price the Department pays to the vendor.

**d. Current system performance**

Due to the decentralized, multi-layered nature of the current technology system, there are no standard system wide performance metrics available. There are no existing service level agreements (SLAs) negotiated with consumers of technology services.

However, the complexity and age of the current technology environment creates support and maintenance issues, which in turn presents risks to the business. From a technical perspective, the Department deals with:

- **Difficulty locating and retaining staff with necessary skill sets:** The number of different systems and the age of some of those systems make it difficult to find and retain staff with the necessary skill sets. Sometimes training is not feasible because of budget limitations or the lack of available courses in older technology.
- **Increased support, maintenance, and contractor costs:** Maintaining older technology is more expensive. The number of technical problems and maintenance cost increases as hardware and software environments age. Employee skill sets to support the older environments become scarcer and those few contracting firms that offer support services do so at an increased cost.
- **Distributed data complexity introduces errors:** The segregated databases and inability of older technologies to integrate at the business logic or interface layers requires the use of complex automated database processes or re-keying in an attempt to ensure data consistency, which leads to a greater incidence of data errors.
- **Difficulty fixing bugs or implementing changes:** The complexity and inflexibility of the environment causes relatively straightforward changes to take significant effort. For example, when the Legislature changed the fee structures for the Department's services in 2009, the effort it took to update FDLIS, FRVIS, and other related systems included in excess of 16,200 hours over a four month period and involved external vendors as well as 50 ISA staff. This did not include business hours expended in the effort.
- **Difficulty integrating software:** Integrating software programs can eliminate duplicative data entry/storage, improve process flow and provide a single interface for the user. However, integration requires either extensive custom programming or newer technology that has "universal connectors" (like web services, SOA, etc.) built in the technology. Some software integrations are simply not possible with decades-old technologies.

## 2. Information Technology Standards

The Department's current technical architecture standard will be based on Microsoft's .NET framework, Oracle relational database, Microsoft's SQL Server relational database, a service-oriented architecture (SOA), and web-based customer facing interfaces.

As the key component of the Department's infrastructure, SOA aptly centers on the concept of service. Using SOA enables the Department to support the business of Motorist Services with greater agility, flexibility, and optimized performance. SOA system design intentionally focuses

on the business of an organization and aligns the technology and infrastructure in support of the business. SOA also enables specific functionality to be more easily exposed externally depending on the overall business or customer needs. Specific services can be reused across the system, increasing data exchange and avoiding silos, all while optimizing performance and increasing the responsiveness to business needs.

## B. Current Hardware and/or Software Inventory

The following hardware and inventory encompasses those components directly related to the proposed solution to re-engineer FDLIS, re-engineer renewals, develop the MyDMV portal, and redesign the database.

Component	Purchase & Warranty Expiration Dates	Current Performance Issues or Limitations	Business Purpose	Estimated Annual Maintenance
<b>Mainframe</b>		<p>Technologies used to support mainframe applications becoming obsolete along with staffing resources needed to support</p> <p>Manual intervention required for several programs, introducing the potential and reality of human errors and failure points</p> <p>Several jobs related to renewals require lengthy run times (overnight and/or across multiple days), and any issues with the jobs shorten the length of time vendors have to generate the renewals</p>	Supports the various batch-related systems used in the motorist services business processes	<p>AST Mainframe Costs</p> <p>\$722,881</p>
<b>Database Servers</b>	Expires Oct 2015	<p>All SOLID databases used in the field are costly and cumbersome to maintain; deployment of any updates is time consuming and intensive</p> <p>Handling of data among multiple, disparate servers introduces the potential for errors and/or discrepancies</p> <p>SOLID databases used in the field also introduce potential for lost data due to lack of monitoring and unexpected outages</p> <p>Lack of monitoring / auditing capabilities for the SOLID databases used in the field</p>	Store and provide access to all motorist services data	<p>AST &amp; Uniface Licensing Costs</p> <p>\$4,207,846</p>
<b>Application Servers</b> <b>Web Server</b> <b>Services Server</b>		Lack of the capability to scale and handle load from web requests introduces the potential for errors and/or data loss.	Provides multiple access points to motorist services applications both internally and externally	
<b>FDLIS</b>	N/A (custom built system)	<p>System is over 10 years old, and the design did not anticipate the current rules and requirements</p> <p>Developed using a programming language for which it is extremely difficult to acquire expertise</p> <p>The underlying databases are isolated from other Department functionality</p>	Primary system for DL issuance and ID processing	In-house staff support & software maintenance

Component	Purchase & Warranty Expiration Dates	Current Performance Issues or Limitations	Business Purpose	Estimated Annual Maintenance
		and do not interrelate well with other systems		
<b>Virtual Office</b>	N/A (custom built web app)	Security Due to security issues with the sensitive data accessed from this system, security measures have been put in place that are cumbersome for end users  The system is not well segregated and defined for ease of use by citizens	To provide a convenient online location for citizens to perform designated transactions related to their business with the Department	In-house staff support

Table 5-2 – Hardware/Software Inventory

## C. Proposed Solution Description

### 1. Summary Description of Proposed Solution

The proposed solution design incorporates a service-oriented architecture (SOA) that provides a solid yet flexible foundation and customer-centric database redesign on which the solution can be developed. The proposed solution consists of the components identified in the following matrix:

Component	System Type	Technology	Connectivity	Security / Privacy Considerations	Development / Procurement Approach	Internal / External Interfaces	Maturity / Longevity of Technology
Redesigned Database	Database	Oracle RDBMS	Internal	ISA Security Policy / Limited access	In-house development	All DHSMV Systems Tax Collectors Field Offices	High
DL Issuance	Internal Client Application With Internal Service Interface	Microsoft .NET (C#) Business Rules Engine Oracle RDBMS Web Services	Thin Client / Web / Web Services	ISA Security Policy / Limited access / Partner Authentication	In-house development	All DHSMV Systems Tax Collectors Field Offices	High
MyDMV	External Website / Internal Web Services	Microsoft .NET (C#) Microsoft SQL Server Business Intelligence Suite Business Rule Engine Oracle RDBMS	Internet / Web Services	ISA Security Policy / Limited access	In-house development	Public DL Related System Functionality	High
DL & MV Renewal Notification Service	Internal Interface	Microsoft .NET (C#) Business Rule Engine Oracle RDBMS	Internet Service/SFTP	ISA Security Policy / Limited access Partner Portal authentication & credential management	In-house development	All DHSMV Systems DOR (High-Speed Renewal)	High

Table 5-3 – Proposed Solution



Figure 5-8 – To-Be System Overview highlights the changes to the current technology environment.

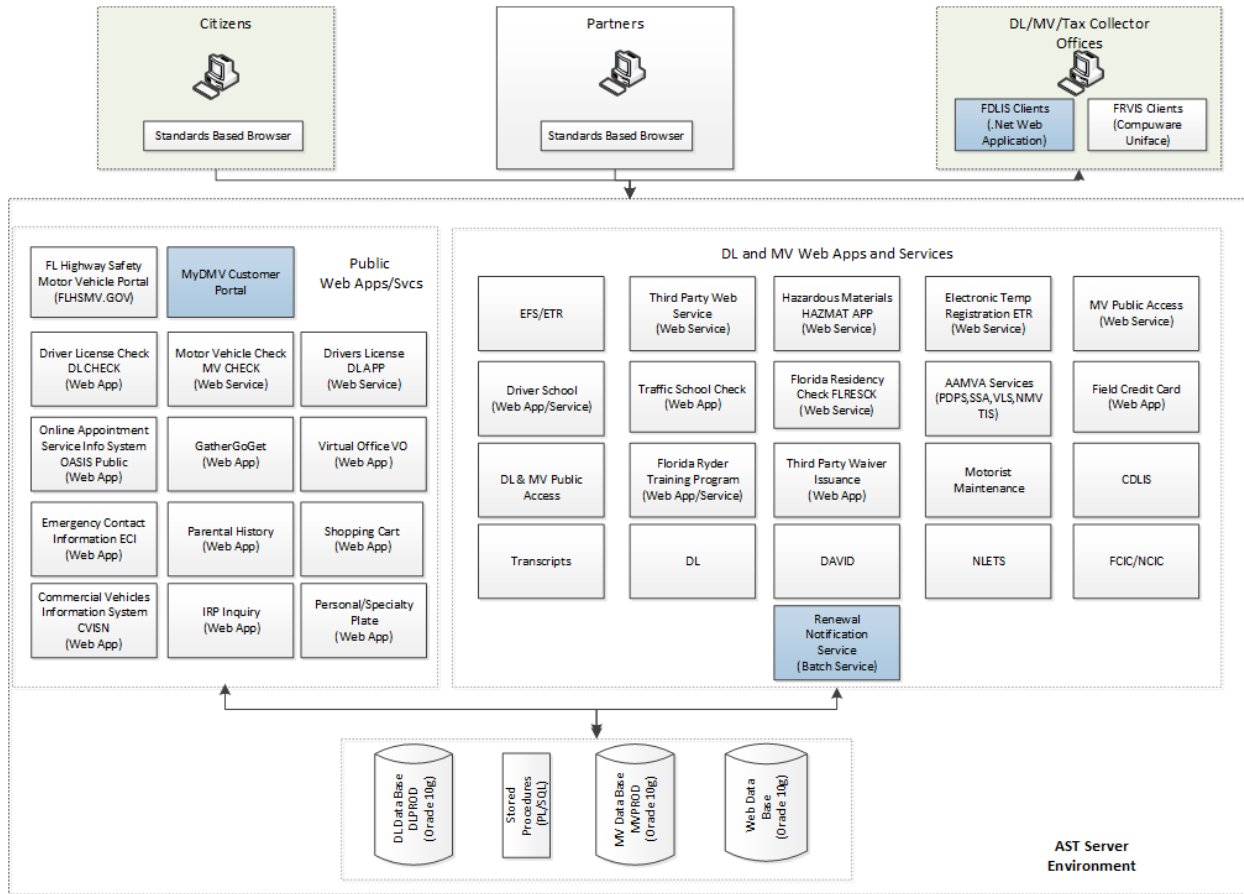


Figure 5-8 – To-Be System Overview

**a. Database Redesign**

Motorist Modernization – Phase I incorporates database redesign as the foundation on which the proposed solution is built. As such, this effort is critical to the success of building a consolidated, customer-centric database from which all future systems are developed. By redesigning the database, the Department can eliminate inefficiencies, redundancies, and discrepancies present in the current database implementations and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion. The core of this new database design will be a unified customer centric model which will contain all details necessary to support all areas of Motorist Services business.

The new design will require the addition of Driver License specific data elements into the physical database supporting Motor Vehicle activities. In addition to the merge, some structures will be implemented to support improved data quality. All elements requiring significant change will require synchronization processes between the new and pre-existing models to ensure that all existing applications remain functional. An existing custom built synchronization process will be replaced with a commercially available solution to support these additional elements.

This model will support all Agency activities going forward. In the near term, this will include the re-engineered FDLIS, MyDMV, and FRVIS (as pertains to renewals). Thus,

the life expectancy of the data model is closely related to the usage of those systems.

The implementation of this data model will utilize existing Oracle licensing and administrative resources. New subject areas will be deployed adjacent to existing legacy data schema to better facilitate synchronization efforts. Also, there will be an emphasis on utilizing the Department's highest available version of the Oracle database software for improved feature usage and vendor support.

This effort will require the following software:

- Oracle Database
- CA Erwin Data Modeler Workgroup Edition
- Blueprint
- Database Synchronization tool with real-time and Change Data Capture (CDC) capabilities

#### b. Driver License Issuance

The first subsystem is the replacement of the Florida Driver License Issuance System (FDLIS) and its underlying subsystems. FDLIS is the system responsible for issuing driver licenses, issuing identification cards, updating customer information, and issuing employee badges. Re-engineering FDLIS will ensure maintainability in the future, as the availability of staff that has experience with the proposed solution's base technologies is growing, whereas the availability of staff to maintain the as-is system with its current technologies is shrinking drastically. Moving to a system that is based on best practices with proven technologies such as a .NET programming language with a service-oriented architecture (SOA) gives the application flexibility to adapt in the future, increases maintainability, and gives room for expansion with minimal changes to the current application when future requirements are added to comply with changing business needs and legislatively-enacted policies.

The redesign of the FDLIS application uses a modular component strategy. This design gives flexibility for each component through an interface-based design principle. The individual components of the system are described as follows:

1. **Web Services** - The FDLIS system will be built using a Service-Oriented Architecture pattern. This involves breaking out the base logic from the application into reusable pieces and provided as services. This design also allows for adding additional front-end applications to consume the same services if in the future a different style application is determined to be needed. A new application can reuse business logic that is embedded in the service layer, saving the need to re-engineer the business logic, validation logic, and consolidating all the associated concerns across related applications into one area.
2. **Client Application** - Chosen for the ability to leverage the built in power of the operating system, a client application installed on the workstation is able to interface with the hardware need to complete the tasks required during the issuance workflow such as capturing photographs, signatures, and scanning documents. This is also the most flexible solution for future requirements if additional hardware requirements are added.

3. **Web Applications** – Pieces of the application that do not require any hardware interaction will take advantage of the lower cost of maintenance and deployment associated with a web application. Administration of the users and reporting can all be accomplished in part or whole through a web application.
4. **Database** – Storage of the data in a relational database is an industry standard and best practice. The current relational data model is not based on best practices and will be upgraded when possible while maintaining interoperability with other internal and external systems that rely on the data captured by the FDLIS application.
5. **Data Warehouse for Reporting** – To keep the data in a form that focuses on reliability and maintainability, the reporting on the data will be done from a data warehouse which formats the data to provide fast and accurate reporting without compromising the data that the agency applications rely on.

The proposed replacement to FDLIS is designed as a web-based application. The application relies on the connection to the data center to be able to operate. The application will be deployed in three different networking environments:

1. **DHSMV offices** - connected through the secure department network already established.
2. **Tax Collector offices** - connected through a combination of local maintained networks, secure department networks, and secure internet connections.
3. **Public sites** - connected through secure internet connections.

All development will occur in-house using FTE and staff augmentation contractors. Development will be based upon the Microsoft .NET environment with Oracle and Microsoft SQL Server databases as data stores. The development methodology will be a blended approach. All high-level requirements will be gathered up-front using a waterfall-style approach.

The proposed FDLIS replacement design will use a series of internal and external interfaces to accomplish the decoupled SOA design. In line with a SOA approach, internal services will be used between applications and the databases that store application data. Internal business services will be used in both client-server applications as well as web-based applications for the appropriate separation of concern. Interfaces with a need to be exposed externally will be exposed through a web service layer that is built on top of the appropriate internal service and includes the appropriate security measures (authentication, encryption, authorization).

Microsoft .NET and the proposed databases are extremely mature and being used worldwide. The Service Oriented Architecture (SOA) approach allows for ease of maintenance, isolation of tasks, and seamless upgrades. These technologies should have a life expectancy of 15 to 20 years.

#### c. **Driver License Record Maintenance and Reporting**

In order to stay interoperable with the changes to the underlying database and take advantages of the upgrades to all of the other changes in the driver license issuance system, the batch processes that maintain DL records and the automated reporting methods must be upgraded in unison. This will allow the Department to keep a

standard architecture for accessing the DL records and increase maintainability for systems that are already in place. Using a standard development environment for all the processes that deal with DL records will also increase transparency of the system and make them more flexible for future changes.

The redesign of the DL Maintenance and Reporting uses a modular component strategy. The three components to be re-engineered are the batch transcript processing, penny sales, and citation processing. The individual components of the system are described as follows:

1. **Web Services** - These applications will use web services as integration points to communicate with other application or entities. In order to maintain interoperability with existing system, these will be additional interfaces, along with already existing interface methods.
2. **BizTalk** - The core logic for citation processing is contained in a BizTalk orchestration. This will determine the flow of the logic once a citation has been accepted, and the appropriate action is taken on the driver record. This process will also handle communication to external and internal systems.
3. **Server Application** - Batch transcripts and penny sales are both non-interactive applications that generate files that are sent to internal units, external agencies, and private parties. These applications will run on the server and generate output documents or data sets that will be available for the appropriate entity at a later time.
4. **Web Applications** - The services built will have to integrate with already existing applications that manages users and roles for applications that interact with external agencies regarding transferring records.
5. **Database** - All data access methods will have to be updated to interface with the new data model implemented for driver records.

These services will be available internally and externally, so the connectivity will have to include secure intranet and internet access. To continue to work with current systems, the data exchanges will have a process that reads and writes files from a SFTP site as a means of data exchange. Web services will be added in addition when applicable.

#### d. **Renewal Notification Service**

The renewal notification service is a process the Department provides to internal and external entities to provide the information for upcoming expiration of DHSMV-managed credentials. The most common credentials issued by the Department are driver licenses and motor vehicle registrations. The proposed system is a modular design that expands the capabilities of the current system through proven technologies integrated for a custom-fit based on industry research and best practices. An automated process would manage notifying the appropriate agency when someone under their jurisdiction has an impending credential expiration approaching. The system would provide all the appropriate information to the agency for them to notify the customer. Some of the data that is provided will come through an enhanced fee engine that calculates fees for driver- and motor vehicle-based charges. Another piece of the system will allow Department personnel to query renewal notification history, including details of when the renewal data was made available, and what data was provided. The current system provides an

automated way to process motor vehicle registrations that are imported to the Department. The proposed solution will expand on this functionality to create an interface into the agency that can process motor vehicle and driver license renewals.

Renewal Notification application uses a modular component strategy. The individual components of the system are described as follows:

- 1.) **Batch Processing Service** - A recurring process will be run based on a business-defined timeline that will query the user-credentialing data to determine what customers need to be notified about impending expiration of their current credentials. This information will be sorted by the entity that has the responsibility to notify each customer. This data will then be made available to the correct entities through a secure file transfer protocol (SFTP) and/or web services. A notification will be sent to each partner entity once their data is available. DHSMV will also print and send any notification to a partner entity that has opted out of the responsibility to send driver license notifications.
- 2.) **Web Application** - A web application portion of the system provides the Department with management and reporting options on what data was provided and when. It would also allow the Department to verify the automated processes are working as intended.
- 3.) **Web Services** - Using a SOA allows the agency to decouple the business logic of determining the correct data to provide the delivery mechanism. This would allow the agency to remove unused delivery mechanisms and add additional sources to the data interfaces provided to our partners.
- 4.) **Database** - In addition to querying the data that already exists, we will track when and what data we have provided to our partner entities for auditing, troubleshooting, and reporting.

This application is an internal application that will be exposed to external agencies. Partner Agencies will connect through the internet or LAN to the available web service or SFTP server through secure and encrypted channels. Authentication and credential management will be handled through the Partner Portal application. All information will be encrypted with a wire-level encryption technique in compliance with the ISA Security Policy.

All development will occur in-house using FTE and staff augmentation contractors. Development will be based upon the Microsoft .NET environment with Oracle and Microsoft SQL Server databases as data stores. The development methodology will be a blended approach. All requirements will be gathered up-front using a waterfall-style approach.

Internal interfaces will be provided in terms of web services to the consuming applications. External interfaces will be provided through the Department's external SFTP server and public-facing web services.

The technologies that this project builds upon are of the highest maturity level. Tools for writing enterprise applications are best in class and confidence is high in Microsoft's enterprise application stack, based on past and present performance. Oracle is a proven name in storing relational data, with support options that allow the Department to

operate with a very low risk factor. Designing with a SOA allows for flexibility and ease of maintenance for a system that is planned to be in production for many years. The estimated life expectancy of this system is 15 to 20 years.

e. **MyDMV Portal**

The MyDMV web portal is the next step in customer interaction directly with the Department. This will allow users to log into an account created for them and manage a majority of their driver license interaction with the agency. This will create a convenience for each customer by providing a user-based login system. Having a particular user logged in will allow the system to be tailored to the tasks a specific user has available for a more personalized experience. This access management system will also support federation with external Identity Providers and allow customers to have a single sign-on experience across the Department's portal functions. Improved auditing functionality will improve transparency for the Department and its customers. The MyDMV portal will also serve as a platform for future development when additional interaction with customers is requested.

The MyDMV web portal is made up of the following components based on a decoupled SOA.

- 1) **Web Application** – The web application portion of the system is what external customers will be able to access. This will provide access to the functions provided by the Department based on what is available to that particular user.
- 2) **Web Services** – Data access from the system will be provided through web internal services. These services will also encompass reusable business logic that will reduce duplication of system functions.
- 3) **Batch Jobs** – Parts of the MyDMV portal system cannot be completed in real-time and must be run on scheduled batch processes. This also includes integration with already existing systems that provide batch processes.
- 4) **Payment services** – Some functions provided by the Department also have associated fees. These fees will have to be collected before any transactions can be completed.
- 5) **Fee Engine Integration** – Used to determine the appropriate fee to be charged for a service.

This application is an external application that will be exposed to customers through the internet. Since this application will deal with protected user data, all communication will be encrypted in compliance with the ISA security policy.

- **Internal** - Internal interfaces will be provided in terms of web services for data access and modification for integration with other existing applications.
- **External** - External interfaces will be provided through the Department's external public-facing web server.

The technologies that this project builds on are of the highest maturity level. The tools selected for the development of the proposed solution are considered best in class and overall industry confidence is high based on past and present performance. Oracle is a proven name in storing relational data, with support options that allow DHSMV to operate with a very low risk factor. Designing with a Service-Oriented Architecture allows for flexibility and ease of maintenance for a system that is planned to be in production for many years. The estimated life expectancy of this system is 15 to 20 years.

## 2. Resource and Summary Level Funding Requirements for Proposed Solution

The Department's current technical architecture standard is based on Microsoft's .NET framework, Microsoft's SQL Server relational database, Service-Oriented Architecture (SOA), and web-based customer facing interfaces. The Department will continue to look for ways to reduce the equipment footprint in offices as we move forward. The Department established the Office of Motorist Modernization in June 2012 to ensure that these projects are successfully driven and implemented.

Motorist Modernization - Phase I will require staff augmentation in the Service Development bureau to assist with the development of components of the system. As we develop a new enterprise customer-centric database, the Department will also require the technical skills of an experienced data architect.

Motorist Modernization - Phase I will be achieved through a phased, iterative approach, with an estimated two year development. The work groups include Preparation, Select & Design, and Implementation Iterations.

Table 5-4 - Resource and Funding Summary Table breaks down the list of resources and funding required across all years for each component of the Motorist Modernization - Phase 1 program. For more detailed information including funding requirements for independent validation and verification services (IV&V) and for data center services, please refer to the project budget information in the cost-benefit analysis.

Component	Resources	Funding
Database Redesign/Synchronization	Contracted Services 1 DataWarehouse Developer 2 Database Developers 1 Tester Internal DHSMV Resources	\$4,084,660
DL Issuance	Contracted Services 2 Project Managers 22 Sr. Developers 9 Business Analysts 5 Testers Internal DHSMV Resources	\$23,183,535
MyDMV	Contracted Services 4 Sr. Developers 1 Business Analyst 2 Testers Internal DHSMV Resources	\$3,377,626
DL & MV Renewal Notification Service	Contracted Services 2 Sr. Developers 1 Business Analyst Internal DHSMV Resources	\$1,499,240

Table 5-4 – Resource and Funding Summary Table

## D. Capacity Planning

Capacity planning is the discipline to ensure the IT infrastructure and applications are in place at the right time to provide the right services at the right price. All new applications should be architected to plan for future Motorist Systems modernization projects, developed utilizing

modern, standards-based platforms, and built for maximum flexibility and expansion.

Most capacity metrics based on the existing technical architecture are not applicable to the new Service Oriented Architecture that will be used for implementing this first phase of Motorist Modernization. The field client server architecture that supports current FDLIS functionality will be eliminated. The existing server and database platforms housed in the data centers is, in most cases, over four years old and needs to be replaced. In collaboration with the state data centers, the Department has recently started an initiative to replace the aging hardware as well as leverage newer modern hardware architectures and virtualization.

It is assumed that the high level business processes (and therefore the number of transactions) will not vary as part of this modernization phase. The new applications are being developed to work within the current network WAN architectures and available bandwidth. Where applicable, existing network usage has been calculated and taken into account with the design of the new system.

The new services will be developed to be hosted on the department's current, .NET application clusters. These clusters are virtualized and hosted at the AST. The platforms have been configured to easily scale out by adding additional servers to the clusters as needed. These clusters are being refreshed to the latest available Windows Server operating system and configured with enough capacity to support any foreseeable Department initiatives.

This first phase of motorist modernization will initially require a separate Oracle database instance for development purposes. The initial capacity requirements to support development and test will be minimal, but are expected to increase as development progresses and additional services are transitioned from the legacy client server system to the new SOA architecture. The Department's Enterprise Oracle infrastructure is nearing end of life and planning is underway to replace this infrastructure and migrate systems in the near future. It is anticipated that the development environment for Motorist Modernization will be migrated to this new platform prior to go live of the new system.



## **VI. Schedule IV-B Project Management Planning**

To manage the components of the Motorist Modernization program, the Department utilizes a project management framework based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK). Please see the following appendices for more information:

Appendix B - Project Management Plan, last updated (9/29/2016)

Appendix C - Project Schedule

Appendix D - Risk Register

## VII. Appendix A: Acronyms

<b>Acronym</b>	<b>Description</b>
AAMVA	American Association of Vehicle Administrators
ADLTS	Automated Driver License Testing System
API	Application Programming Interface
AST	Agency for State Technology
BIO	Bureau of Issuance and Oversight
BOR	Bureau of Records
CCIS	Clerk of Court Information System (new system that replaces DRC1)
CDL	Commercial Driver License
CDLIS	Commercial Driver License Information System
CICS	Customer Information Control System
CIPS	Central Issuance Processing System
CRS	Cashier Receipt System
DAVID	Driver And Vehicle Information Database
DBMS	Database Management System
DHS	Department of Homeland Security
DI	Driver Improvement
DL	Driver License
DOR	Department of Revenue
DOS	Department of State
DPPA	Driver Privacy Protection Act
DRC1	Driver Record Court (old Clerk of Court information system)
DRIVE	Driver Related Issuance and Vehicle Enhancements
DUT	Driver Uniform Ticket (Traffic)
EFS	Electronic Filing System
EREC	Electronic Repository of Executed Contracts
FAME	Financial Accounting Management Exchange
FCCC	Florida Court Clerks and Comptrollers
FDLIS	Florida Driver License Information System
FHP	Florida Highway Patrol
FRVIS	Florida Realtime Vehicle Information System
HTO	Habitual Traffic Offender
HTTPS	Hypertext Transfer Protocol Secure
IES	Information Exchange Services
IFTA / IRP	International Fuel Tax Agreement / International Registration Plan
IID	Ignition Interlock Device

Acronym	Description
ISA	Information Systems Administration
IVR	Interactive Voice Response
MV	Motor Vehicle
OASIS	Online Appointment Service and Information System
PDC	Primary Data Center
PDL	Property Damage Liability
PIP	Personal Injury Protection
SAVE	Systematic Alien Verification for Entitlements
SFTP	Secure File Transfer Protocol
SLA	Service Level Agreement
SOA	Service Oriented Architecture
SSA	Social Security Administration
TCATS	Traffic Citation Accounting Transmittal System
UI	User Interface
USCIS	United States Citizenship and Immigration Services Verification
UTC	Uniform Traffic Citations
VLS	Verification of Lawful Status

## **VIII. Appendix B: Project Management Plan**



## **Motorist Modernization Program**

Information Systems Administration ♦

Office of Motorist Modernization ♦

Program Management Plan  
Version 3.0

## Contact Information

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## File Information

**File Location:** All program artifacts will be maintained in the [MM Phase I project control book \(PCB\)](#) and in the project portfolio management (PPM) tool.

## Revision History

Date	Version	Revised By	Description
8/11/2014	1.0	W. Ling	Initial Draft
11/13/2014	1.1	W. Ling	Updates to match Schedule IV-B
11/17/2014	1.2	W. Ling	Draft edits
12/9/2014	1.3	W. Ling	Final edits
2/10/2015	1.4	W. Ling	Updated IV&V vendor
2/18/2015	1.5	W. Ling	Consolidated edits from the OMM Leadership Team.
6/8/2015	2.0	W. Ling	Revisions based on IV&V Baseline Assessment Report
7/15/2016	3.0	K. Green	Major edits to Update Program Organizational Charts and incorporate Development Phase activities.

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# 1. Purpose of Document

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This Program Management Plan (PMP) provides guidelines for the Motorist Modernization program identifying the:

- Purpose of Document
- Background and Business Need
- Assumptions and Constraints
- Program Scope and Methodology
- Critical Success Factors and Program Benefits
- Program Organization
- Human Resource Management
- Cost Management
- Time Management
- Risk and Issue Management
- Change Management
- Quality Management
- Communications Management
- Document Management
- Organizational Change Management
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- Common Acronyms & Terms
- Signature and Acceptance Page

The Program Management Plan (PMP) is a “living” document that is prepared early in the Planning Phase of the program. The PMP identifies key elements of the program management strategy and the high level activities and deliverables of the program.



## 2. Background and Business Need

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The Division of Motorist Services within the Department of Highway Safety and Motor Vehicles supports the issuance of approximately five million driver licenses/identification cards and 29 million motor vehicle titles and registrations in Florida annually<sup>1</sup>. These services provide more than \$2.4 billion in State revenues, which is then distributed to General Revenue, the Department of Transportation, the Department of Education, the Law Enforcement Radio Trust Fund, the Department, and others. The Department is one of the largest revenue sources of the state's general revenue funding.

The Department has been issuing licenses and registering vehicles as a consolidated agency since 1969 when the Governmental Reorganization Act combined the Florida Department of Public Safety and the Department of Motor Vehicles, but in forty-four years, it never combined the two functions. Separate divisions handled driver license issuance and motor vehicle registrations in separate offices using separate computer systems, even though they served the same customers who usually needed both services. Business needs did not dictate that the divisions integrate their data, standardize processes or provide self-service opportunities. Business process ownership and supporting technology operated in silos, and additional system functionality was developed sporadically or hastily in response to legislative mandates.

During the last two decades, critical changing business needs have caused the Department to move to a more integrated motorist services environment. For years, the concept of a "one-stop shop" has been discussed, and the Department has taken steps towards implementing this starting in 1996 when the Department began partnering with county tax collectors to provide some driver license issuance services in addition to titles and registrations. Some improvements to systems were made to increase ease of use by the tax collectors (such as allowing the use of an external cashiering system), but the systems were not significantly changed.

The next definitive action started in 2009 when the Department began to merge and centralize various administrative and shared functions and defined a plan to merge the two divisions into one division. The 2010 Legislature approved a plan to migrate most driver license issuance services to the tax collector offices and reduce the number of state-operated driver license offices by 2015. As a result, the Division of Motorist Services was created.

Numerous applications and processes have been developed over time as required; however the silo (legacy) structure still exists today. In addition to agency systems, the Department has partnered with outside vendors that support different functions associated with driver licenses and motor vehicle titles and registrations. Expanding the Department's partnerships and finding efficiencies in service delivery and re-engineering older legacy systems are core strategies to meeting the Department's strategic goals.

As stated in the Department's strategic plan, the Department seeks to:

- Protect the lives and security of our residents and visitors through enforcement, service, and education
- Provide efficient and effective services that exceed the expectations of our customers and stakeholders
- Leverage technology in the way we do business

<sup>1</sup> Statistics are as of FY 2014-15. Updated figures may be obtained upon request.

- Build a business environment that regards our members as our most valuable resources

The Department created the Office of Motorist Modernization to manage this effort from a technology perspective. Major activities include planning and managing all functions related to the delivery of the new motorist systems program roadmap, data modeling, motorist business application architecture, requirements management, and modernization of the motorist information technology systems to align with the current organizational structure and business processes of the new Motorist Services Division. This effort will leverage technological advances in the software, hardware and network arenas to provide faster and more effective computing solutions.

## 3. Assumptions and Constraints

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### 3.1. Assumptions

The Department operates in a regulated environment and is subject to numerous State and Federal statutes and rules as well as professional standards relating to data protections and integrity. These requirements will need to be carefully considered during requirement analysis and eventual system selection.

- The program objectives will be one of the Department's top priorities under the direction of the Office of Motorist Modernization.
- The business partners in DHSMV will provide the necessary resources to participate when needed. If requested resources are not available, a knowledgeable replacement will be provided.
- This program will have executive and senior level management support.
- The program will implement a governance structure and follow the procedures set forth in the documented Decision Escalation Matrix in Section 6.7.
- Any changes that introduce risk to the program must be approved by the ESC. All changes will be reported to Department Governance and documented and stored with program artifacts.
- This program will use a combination of Department staff and contracted support.
- This program will use a blended waterfall-agile project management methodology.
- Required funding will be approved
- The Motorist Modernization – Phase I Program will use a service-oriented architecture (SOA) in a Microsoft .NET framework.

### 3.2. Constraints

- There are several other projects that will compete for resource availability.
- The Motorist Modernization – Phase I Program depends upon the successful and timely completion of associated projects.
- Difficulty obtaining funding for the program, resource constraints and general economic disturbances could restrict the ability of the team to complete the scope of this program during the desired time frame.
- Resource availability due to high rate of attrition within the Department.
- Implementation of program objectives will be heavily dependent on the acquisition of knowledgeable resources and/or training provided to bring current resources up to speed.
- Priority shifts and/or legislative mandates could have an impact on the ability of the program to achieve stated objectives.
- Dependency on the cooperation and availability of external stakeholders may impact the ability of the program to achieve stated objectives.
- Advances in technology can cause program delays due to lack of knowledge of the new technology, availability of training or availability of resources with experience in the new technology.

## 4. Program Scope and Methodology

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### 4.1. Scope Statement

The Motorist Modernization – Phase I Program, beginning in November 2013 and running through August 2019 with an estimated budget of \$36.7 million, will alleviate the immediate support burden to Motorist Services business operations through the following:

**Redesign database structure and implement data quality controls.** The Department recognizes the need to migrate to a customer-centric data model and implement controls to support data quality. By redesigning the database, the Department can eliminate inefficiencies, redundancies, and discrepancies present in the current database implementations and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion. An existing synchronization process will be enhanced to support legacy data access once the database changes are in place.

The redesign of the database replaces the original plan for Master Data Management reported previously as part of the original Schedule IV-B proposal for FY 2014-15. Prior to the original submission, the evidence gathered for the time, cost, and benefit to the Department was anecdotal from several vendor meetings and informational demonstrations. In early 2014 the Department sought to obtain more concrete information and issued a formal Request for Information (RFI) in an effort to shore up expectations on cost and services. The responses received (>18) indicated the Department had severely under-budgeted by \$10-20 million. As a result, the Department opted to revise the infrastructure plan and scale back plans for a more cost-effective solution that still achieves the program objectives.

**Replace the Florida Driver License Information System (FDLIS) and supporting systems.** FDLIS is a client/server application deployed in the tax collector and driver license offices statewide to support the basic driver licensing process workflow. Data is housed locally and periodically synched to Department databases. This presents several risks as law enforcement is not provided immediate access to changes made to driver records and, in the event of a synchronization failure, drivers that believe they are licensed, but in fact do not possess a valid license and sometimes need to return to an office to resolve. In order to stay interoperable with the changes to the underlying database, the batch processes that maintain DL records and FDLIS must be upgraded in unison.

**Create a MyDMV Portal.** GoRenew.com is the Department's current self-service portal for motorist services. Also known as "Virtual Office," it provides limited access to services for motorists. In attempting to establish better authentication practices, ease of use has been significantly impaired. The Department proposes to create a user-friendly "MyDMV" portal that will allow motorists to access more services, allowing citizens to interact with the Department via this self-service portal instead of having to go to a tax collector or state office. Phase I will focus on the driver license services, with the intention that motor vehicle services will be addressed in future years.

**Re-engineer the driver and vehicle renewal process.** The renewal notification process is not without failure issues, which leads to additional costs for the tax collectors (who administer the vehicle renewal process) and the Department (which supports both renewal processes and administers the driver license renewal process). The Department will re-engineer the renewal notice process and applications to streamline the process. It may reduce the Department's mail-out costs paid to the United States Postal Service for

the renewal notices and processing costs for mail-ins paid to the Department of Revenue.

Phase I will also expand the use of a single fee engine across all applications. Over time, different fee calculation routines have been inserted into each of the motorist services systems. The Department now maintains a dozen different fee calculation routines, resulting in months of staff time allocated when fee changes are made. A fee engine is being developed as part of the Driver Related Issuance and Vehicle Enhancements (DRIVE) program in support of the Electronic Filing System (EFS). The Department plans to utilize this fee engine for all future motorist services development, adding fee routines to it as systems are re-engineered.

Any changes to the scope of this Program must follow the change management plan, be approved by the Executive Steering Committee (ESC), and reported to Department Governance. The approval will be kept with the program artifacts.

#### **4.2. Program Deliverables**

The following table contains a preliminary list of program deliverables which will be updated accordingly. Projects conducted in the program will include a separate and specific list of project deliverables with corresponding completion and acceptance criteria.

Deliverable Name	Completion and Acceptance Criteria
Program Charter	A document authored by the Program Manager and issued by the Program Sponsor authorizing the Program Manager to apply resources to program activities.
Program Management Plan (PMP)	A document authored by the Program Manager and approved by the Executive Steering Committee providing the guidelines and procedures by which the program will be administered and managed.
Risk, Issue, & Action Registers	Prioritized list of identified risks and actual issues during the program.
Change Log	List of all change requests approved by the appropriate governing body.
Status Reports and Meeting Actions	Record of program status delivered and decisions/actions taken.
Meeting Minutes	All decisions made during meeting will be documented and accepted during the meetings.
Program Schedule	An agreed upon schedule by members of the program team. This is also referred to as the Integrated Master Schedule (IMS).
Schedule IV-B	Feasibility study detailing the plan, objectives, cost-benefit analysis, and risks for specific program

Deliverable Name	Completion and Acceptance Criteria
	initiatives for the upcoming fiscal year.
Legislative Budget Request (LBR) for Program Costs	Identify items, their costs, and narrative to explain why items are required for the program initiatives.
Request for Quote (RFQ) for required services	Formal request to hire vendor assistance for staff augmentation, etc.
Request for Information (RFI)	Formal request for more detailed information and specification from vendors offering specific products and services critical to modernization.
Support Services Vendor Deliverables	Deliverables developed in accordance with the program's support services vendor contract.

### 4.3. Program Exclusions

Exclusions from the scope of this program are:

- General Financial and Accounting system (however, basic cashiering and revenue distribution capabilities are in scope)
- General Procurement system (however, inventory management of driver licenses and motor vehicles stock is in scope)

Anything not explicitly stated in the scope of this program is implicitly excluded.

### 4.4. Program Methodology

The Motorist Modernization Program will utilize the DHSMV Information Systems Development Methodology (ISDM) to complete Phase I activities. The DHSMV ISDM utilizes **both waterfall and agile methodologies** for specific activities within the program.

#### 4.4.1. Waterfall Methodology

A waterfall approach will be taken to manage certain activities and deliverables that have a natural progression and interdependency on each other. Examples include the development and documentation of the project charter, project management plan, resource on-boarding, project kick-off, etc.

As the Program progresses, the waterfall methodology will be used to formalize the outcomes of the legacy system as-is reviews, gap analysis work, database design activities and development preparation. These deliverables will be constructed by gathering or creating documents, evaluating the legacy system COBOL and PL/SQL programs as well as various discussions surrounding the existing database synchronization structure and challenges. These tasks are laid out in a traditional waterfall approach, having a natural order with predecessors and successors clearly defined within the program schedule.

The overarching IDSM has a multitude of stage containment activities. There is an evaluation of the Program's progress at various points to ensure work has been completed and stakeholder approval has been achieved in order to proceed to the next stage of activities.

#### ***4.4.2. Agile Methodology***

The Motorist Modernization – Phase I Program leverages the agile methodology in recognition that the business rules and requirements for all projects will continue to be refined in an iterative manner leading up to development. With a multitude of stakeholder groups, the agile approach allows representatives to prioritize their requirements and business needs, formulate user stories, document epics and do so on a planned, incremental basis.

With the agile methodology, a group of project members forms a “Scrum Team”. This will be a collection comprised of internal stakeholders, customers (or their representatives), a product owner, the development team and a Scrum Master. As requests are gathered from the stakeholders, a “Backlog” is formed and inventoried. Sprints are then planned to take focused requests from the backlog and develop a reviewable work product.

## 5. Critical Success Factors and Program Benefits

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### 5.1. Critical Success Factors

Critical success factors for the Motorist Modernization – Phase I Program are specific circumstances that must be in place to ensure delivery of the state program objectives. These include:

- The program will be the Department's top priority under the direction of the Office of Motorist Modernization.
- DHSMV will provide the necessary resources to participate when needed. If requested resources are not available, a knowledgeable replacement will be provided.
- The program will implement a governance structure and follow the procedures set forth in the documented Decision Escalation Matrix in Section 6.7.
- Any changes that introduce risk to the program must be approved by the ESC. All changes will be reported to Department Governance and documented and stored with program artifacts.
- Required funding will be approved.
- The program will achieve stakeholder buy-in and support.
- The program team will meet key milestone deadlines set forth in the Integrated Master Schedule (IMS).
- The program team will follow the management procedures set forth in this document.

### 5.2. Benefits Realization Table

The Benefits Realization Table describes the benefits which accrue from the Motorist Modernization Phase I program implementation, including estimated values computed for the tangible benefits. The tangible benefits are assessed against business conditions and are conservatively estimated. This table may be obtained from the Schedule IV-B for Motorist Modernization – Phase I. The table will be reviewed each year during the Legislative Budget Request process and updated as needed in the Schedule IV-B submitted each year.



BENEFITS REALIZATION TABLE <sup>2</sup>						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
1	As the batch processes associated with Driver License services are decommissioned, the Department expects its <b>mainframe charges at Southwood Shared Resource Center (SSRC) to decrease</b> . Given current rates, the Department projects that SSRC costs will decrease by <b>approximately \$250,000 annually</b> .	Tangible	DHSMV	Decreased billing from SSRC.	DHSMV has current hosting/maintenance costs for the mainframe & will track elimination of these costs.	FY 2019-20
2	MyDMV will have the functionality to handle some reinstatement fees online, <b>instead of requiring drivers to call in to HSMV</b> . Currently, failed transactions require the driver to come in to the DL office or the Tax Collector office to complete the transaction. Based on the number of failed transactions, the Department estimates that <b>customers will save approximately 1 hour</b> by conducting business online instead of by phone.	Tangible	Drivers who have temporary Class E and Commercial Driver License permits	Time savings for drivers to perform some reinstatement actions online instead of calling in or going into an office.	The Department will monitor use of online renewals as compared to phone renewals. Transaction failure rates (of online vs IVR) will also be monitored.	FY 2019-20
3	Avoid additional operating costs that will be necessary once resources are no longer available internally to support department systems. The Department projects that operating costs will increase up to \$1.2 million in order to support the DL Uniface infrastructure and mainframe services once staff have	Tangible	DHSMV and the State	The Department will not have to increase the numbers of contractors that will be needed as staff leave the unit.	DHSMV will monitor how many contracted staff will be required to support the DL Uniface and mainframe environments.	FY 2019-20

<sup>2</sup> Captured from the original Schedule IV-B for Motorist Modernization, Phase I October 2013. An updated version may be obtained upon request.

BENEFITS REALIZATION TABLE <sup>2</sup>						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
	either retired or elected to move to other development languages.					
4	Workload savings will be achieved through the implementation of the driver license issuance system. The department projects that there will be a time savings of 20 seconds per driver license transaction once the new driver license issuance system is developed. This is estimated to provide the department \$90,000 and the tax collectors more than \$300,000 in workforce savings annually.	Tangible	DHSMV and tax collectors	Workload savings of 20 seconds per transaction (5 million transactions per year)	The Department will sample transaction processing times and the average the length of time it takes to process on the old system versus the new system	FY 2019-20
5	Replacement of the DL issuance system will reduce the number of voided DL/ID transactions. Currently, the customer does not have the ability to verify all information prior to printing of the driver license or identification card. Once it is printed and the error is found, the examiner has to void the card, make the correction, and then print another card. The Department currently pays \$1.97 per card to the card vendor. A 10% savings would result in an annual reduction of more than 4,000 voids and reprints, and savings of more than \$8,000.	Tangible	DHSMV	The Department will not have as many voided transactions, incurring additional costs	DHSMV tracks how many cards are issued or voided (and the reason for the void).	FY 2019-20
6	The current Virtual Office application does not do sufficient error checking when customers process DL transactions online. The customer doesn't know that there was an issue with their transaction, resulting in phone	Tangible	DHSMV Florida Drivers that conduct business	The Department would see increased customer service and a reallocation of	Error reports will be monitored	FY 2019-20

BENEFITS REALIZATION TABLE <sup>2</sup>						
#	Description of Benefit	Tangible/ Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
	calls to the Department to get a status on their transaction. If these were validated on the front-end during the customer transaction, the customer could make the necessary corrections prior to paying or mail in the appropriate paperwork. The Department would not have to dedicate staff to follow up on these issues and process refund checks. This will result in an annual savings of approximately \$28,000.		through online services	staff in the DL Issuance unit. Refund checks would not need to be processed.  Florida Drivers would not need to call the Department.		

# 6. Program Organization

This section details the high-level program organization, roles and responsibilities, and also details the high-level program team structure. The program blends dedicated full-time staff with staff augmentation to address both the short-term objectives and the long-term support of the program.

## 6.1. Program Organization High-Level Overview

Figure 6-1 shows the program organization and the relationship between its components.

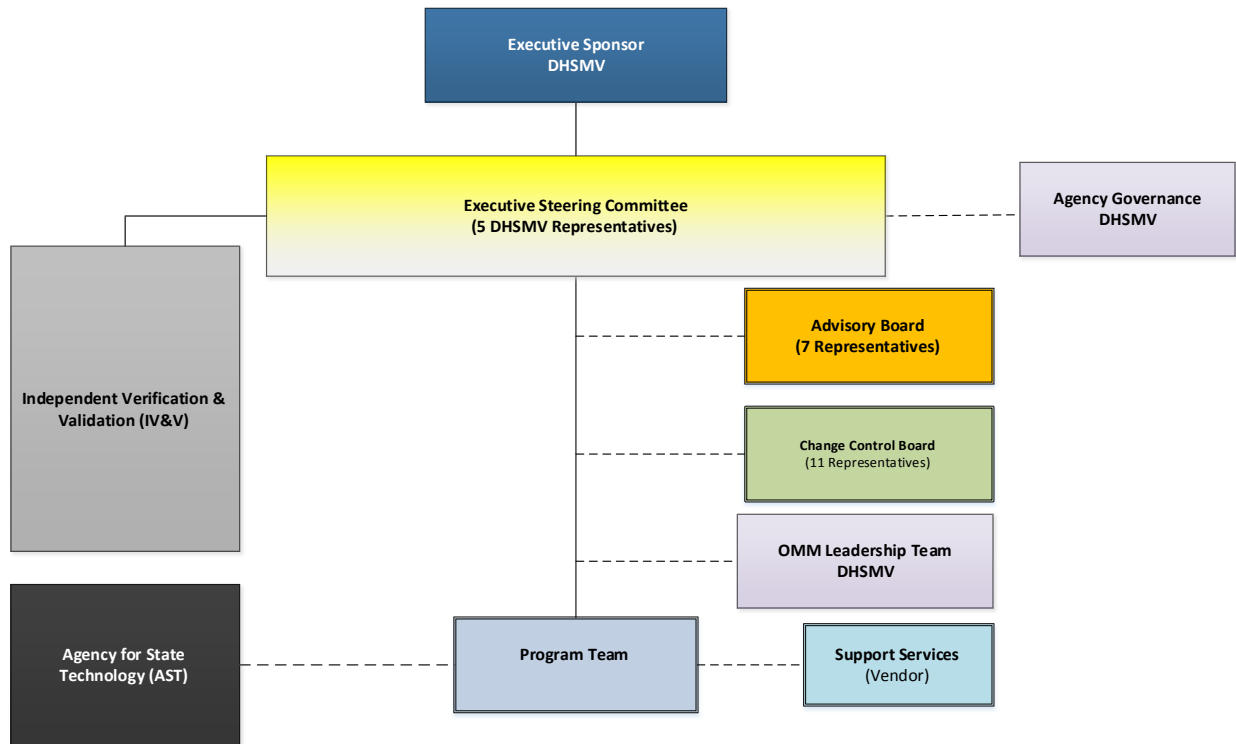


Figure 6-1 – Program Organization

## 6.2. Executive Steering Committee

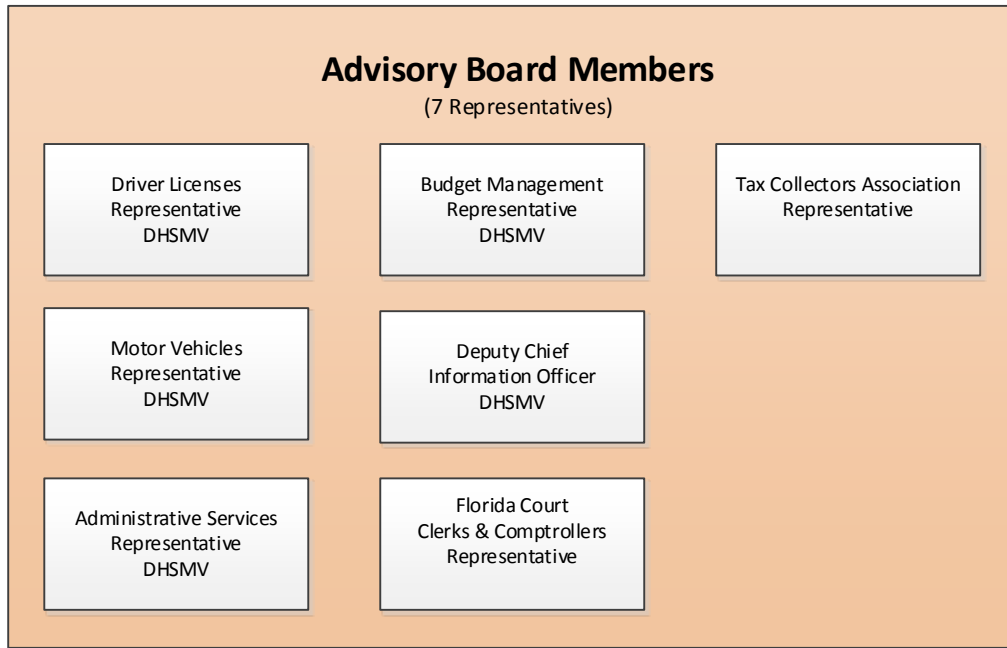
Figure 6-2 illustrates the Executive Steering Committee members. For more information about the ESC, please refer to the committee's charter located in the Phase I program's PCB.



Figure 6-2 – Executive Steering Committee

**6.3. Program Advisory Board**

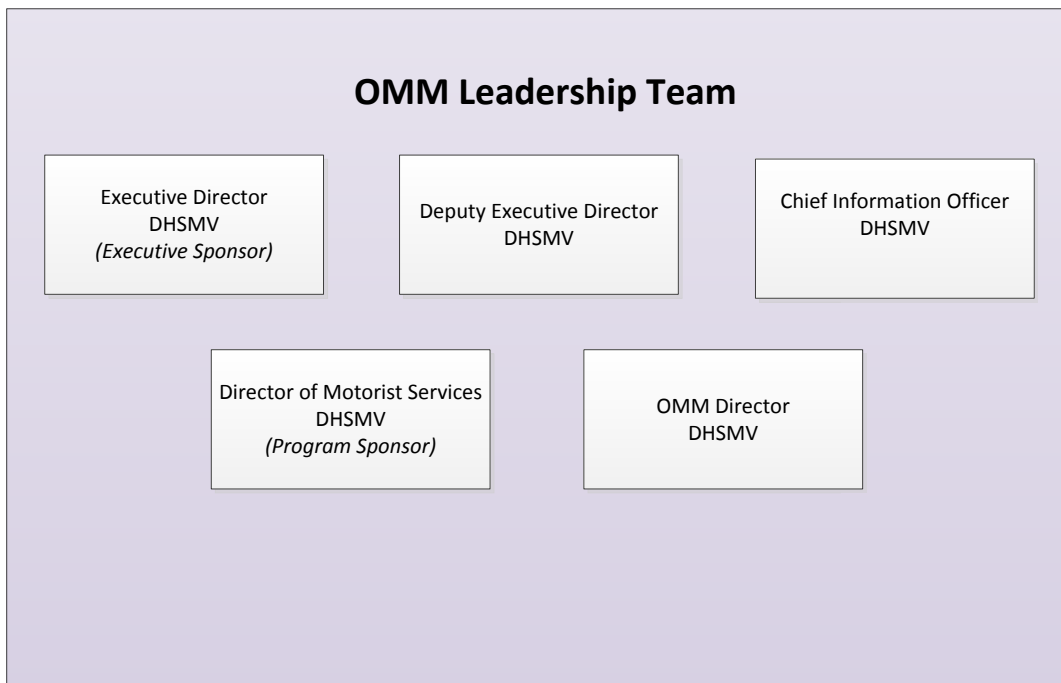
Figure 6-3 illustrates the Advisory Board members. For more information about the Advisory Board, please refer to the board's charter located in the Phase I program's PCB.



**Figure 6-3 – Program Advisory Board**

**6.4. OMM Leadership Team**

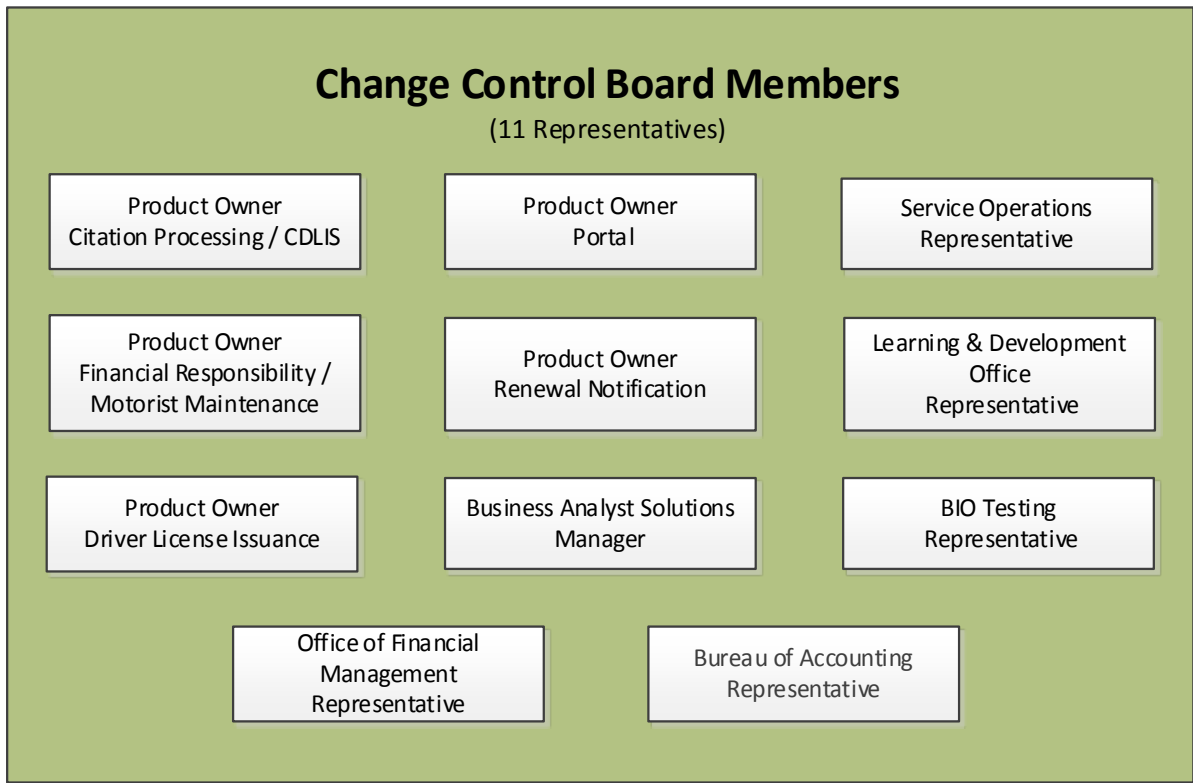
Figure 6-4 illustrates the OMM Leadership Team members.



**Figure 6-4 – OMM Leadership Team**

**6.5. OMM Change Control Board (CCB)**

Figure 6-5 illustrates the Change Control Board members. For more information about the Change Control Board, please refer to the board's charter located in the Phase I program's PCB.



**Figure 6-5 – OMM Change Control Board**





**6.7. Decision Escalation Matrix**

The Motorist Modernization – Phase I Program includes a governance structure that serves as the foundation for all program-related decisions. The following decision escalation matrix identifies the governing bodies, roles, and responsibilities by priority level.

Governance Body	Schedule	Scope	Budget	Risks / Issues	Resources
	<i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i>	<i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i>
<b>HIGH PRIORITY ITEMS</b>					
<p><b>ESC</b>  <i>Ensure the program meets overall objectives and:</i></p> <ul style="list-style-type: none"> <li>- Provide management direction and support to the program management team;</li> <li>- Assess the program's alignment with the strategic goals of the department;</li> <li>- Review and approve or disapprove high-priority changes to the program's scope, schedule and costs;</li> <li>- Review, approve or disapprove and determine whether to proceed with any major program deliverables; and</li> <li>- Recommend suspension or termination of the program (or any of its sub-project initiatives) to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved.</li> </ul>	<ul style="list-style-type: none"> <li>- Missed phase gate.</li> <li>- Schedule variances that will impact the IMS baseline (warranting re-baseline).</li> <li>- Significant schedule slippage that may include missing key deliverables or milestone dates.</li> <li>- Schedule variances that will cause a delay in work along the critical path.</li> <li>- SPI trending &lt; 0.90 (+/- 10%).</li> </ul>	<ul style="list-style-type: none"> <li>- Changes in scope that impact the overall program definition and direction.</li> <li>- Legislative and/or Policy directives.</li> <li>- Unstable program scope.</li> <li>- Deferral of functionality with impact to business objectives.</li> <li>- Go/No-Go decision point.</li> </ul>	<ul style="list-style-type: none"> <li>- Spending over/under budget for an established reporting period (+/- 10%).</li> <li>- Changes to the overall program budget (allocation, distribution, etc.).</li> </ul>	<ul style="list-style-type: none"> <li>- Escalating or new risks that will most likely impact the success of the program.</li> <li>- Escalating or new issues that are impacting the success of the program.</li> </ul>	<ul style="list-style-type: none"> <li>- Enterprise (cross-program / department) staffing and resource management (allocations).</li> </ul>

	Schedule	Scope	Budget	Risks / Issues	Resources
<b>Governance Body</b>	<i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i>	<i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i>
<p><b><u>Motorist Modernization Advisory Board</u></b>  <i>Provide input and strategic guidance to the Program Director and the ESC to assist in decision making.</i></p>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>
<p><b><u>DHSMV Governance</u></b>  <i>Executive Governance Committee (Tier 3) that approves and monitors projects that meet any of the following:</i></p> <ul style="list-style-type: none"> <li>- \$1M or greater</li> <li>- Grant Funded/Legislative Funding</li> <li>- Enterprise initiatives</li> <li>- Integration with external entities or other agencies</li> <li>- Confidential information will be shared with external entities or agencies</li> <li>- Large multi-year</li> <li>- Critical timelines</li> </ul>	<i>Review and monitoring.</i>	<i>Review and monitoring.</i>	<i>Review and monitoring.</i>	<i>Review and monitoring.</i>	<i>Review and monitoring.</i>

<p><b>Governance Body</b></p>	<p><b>Schedule</b></p>	<p><b>Scope</b></p>	<p><b>Budget</b></p>	<p><b>Risks / Issues</b></p>	<p><b>Resources</b></p>
	<p><i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i></p>	<p><i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i></p>	<p><i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i></p>	<p><i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i></p>	<p><i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i></p>
<p><b>MEDIUM PRIORITY ITEMS</b></p>					
<p><b><u>Program Director</u></b>                      In consultation with the OMM Leadership Team and Change Control Board  <i>Provide daily planning, management and oversight of the program.</i></p>	<ul style="list-style-type: none"> <li>- Isolated schedule slippage. Impact &gt;5 working days to 10 working days and can be managed within the working team (unless on the critical path).</li> <li>- Schedule variances that <u>will not</u> cause a delay in work along the critical path.</li> <li>- Schedule variances that <u>will not</u> significantly impact the IMS baseline (not warranting re-baseline).</li> <li>- Decisions that affect a dependency external to the program.</li> </ul>	<ul style="list-style-type: none"> <li>- Minor changes to program scope (or requirement delays) that can be managed within the working team. Workaround exists.</li> </ul>	<ul style="list-style-type: none"> <li>- Spending over/under budget for an established reporting period (+/- 5%).</li> <li>- Impact can be managed within the program budget.</li> </ul>	<ul style="list-style-type: none"> <li>- New risks and issues do not pose a significant threat to program success and can be managed within the working team.</li> </ul>	<ul style="list-style-type: none"> <li>- Inter-program resource management (allocations).</li> </ul>
<p><b><u>Motorist Modernization Change Control Board</u></b>  <i>Provide input and strategic guidance to the Program Director, Advisory Board and the Executive Steering Committee to assist in Agile Management-related decision making.</i></p>	<p><i>Input and guidance (recommendations) to ESC.</i></p>	<p><i>Input and guidance (recommendations) to ESC.</i></p>	<p><i>Input and guidance (recommendations) to ESC.</i></p>	<p><i>Input and guidance (recommendations) to ESC.</i></p>	<p><i>Input and guidance (recommendations) to ESC.</i></p>

	<b>Schedule</b>	<b>Scope</b>	<b>Budget</b>	<b>Risks / Issues</b>	<b>Resources</b>
<b>Governance Body</b>	<i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i>	<i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i>
<b>LOW PRIORITY ITEMS</b>					
<p style="text-align: center;"><b><u>Project Manager(s)</u></b></p> <p>In consultation with the Program Manager</p> <p><i>Provide daily planning, management and oversight of the program's sub-project initiatives.</i></p>	<ul style="list-style-type: none"> <li>- Impact 5 business days or less and can be managed within the sub-project working team (unless on the critical path).</li> <li>- Schedule variances that <u>will not</u> cause a delay in work along the critical path.</li> <li>- Schedule variances that <u>will not</u> significantly impact the project schedule baseline (not warranting re-baseline).</li> <li>- Decisions that affect a dependency internal to the project.</li> </ul>	<ul style="list-style-type: none"> <li>- Minor changes to sub-project scope (or requirement delays) that can be managed within the working team. Workaround exists.</li> </ul>	<ul style="list-style-type: none"> <li>- Impact can be managed within the sub-project working team.</li> </ul>	<ul style="list-style-type: none"> <li>- New risks and issues do not pose a significant threat to sub-project success and can be managed within the working team.</li> </ul>	<ul style="list-style-type: none"> <li>- Inter-project resource management (allocations).</li> </ul>

### **6.8. RASCI**

The Program uses a modified stakeholder matrix to identify program stakeholders and assign the appropriate attribute as it relates to roles on the program:

- Responsible
- Accountable
- Support
- Consulted
- Informed



RASCI

Matrix\_v3.0.pdf

### **6.9. Program Team Roles and Responsibilities**

The following table identifies specific roles and responsibilities of the Program. The aforementioned RASCI identifies additional groups within the Department that provide Program support.

Role	Responsibility
Executive Sponsor (member of ESC)	Champion the program while providing leadership and guidance in the overall success of the program.
Program Sponsor (member of ESC)	<ol style="list-style-type: none"> <li>1. Initiate and provide overall business support for the program.</li> <li>2. Act as an advocate for the program, the Program Director and project teams.</li> </ol>
Executive Steering Committee (ESC) <ol style="list-style-type: none"> <li>1. Executive Director (Executive Sponsor)</li> <li>2. Deputy Executive Director</li> <li>3. Director, Motorist Services (Program Sponsor)</li> <li>4. Chief Information Officer</li> <li>5. Chief of Administrative Reviews</li> </ol>	Ensure the program meets overall objectives and: <ol style="list-style-type: none"> <li>1. Provide management direction and support to the program management team;</li> <li>2. Assess the program's alignment with the strategic goals of the department;</li> <li>3. Review and approve or disapprove high-priority changes to the program's scope, schedule and costs;</li> <li>4. Review, approve or disapprove and determine whether to proceed with any major program deliverables; and</li> <li>5. Recommend suspension or termination of the program (or any of its sub-project initiatives) to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved.</li> </ol>
Advisory Board	Provide input and strategic guidance to the Program Director and the Executive Steering Committee to assist in decision making. Members advise, assist, support and advocate the program.
Change Control Board (CCB)	Provide input and strategic guidance to the Program Director, Advisory Board and the Executive Steering Committee to assist in Agile Management-related decision making.
Information Security Manager (ISM)	Provide timely enterprise security management policy, procedures, requirements, and program guidance and/or decisions as it relates to the Driver License Issuance project's enterprise security management aspects.
Independent Verification and Validation (IV&V)	Perform independent assessment of the program to ensure that the deliverables meet defined requirements / specifications in accordance with industry leading practices, the Scope of Services document and the Deliverable Expectation Document.
OMM Leadership Team <ol style="list-style-type: none"> <li>1. Executive Director (Executive Sponsor)</li> <li>2. Deputy Executive Director</li> <li>3. Director, Motorist Services (Program Sponsor)</li> <li>4. Chief Information Officer</li> <li>5. Program Director</li> </ol>	<ol style="list-style-type: none"> <li>1. Review status, resolve issues, and mitigate risks for OMM programs and initiatives.</li> <li>2. Provide input and strategic guidance to the Office of Motorist Modernization leadership.</li> <li>3. Members should advise, assist, support OMM programs/projects, including the Driver Related Information and Vehicle Enhancements (DRIVE) project and Motorist Modernization Program – Phase I.</li> </ol>
Program Director (may also be referred to as the Office of Motorist Modernization)	<ol style="list-style-type: none"> <li>1. Serve as the Director of the Office of Motorist Modernization.</li> <li>2. Has overall responsibility for the successful development and implementation of the Motorist Modernization – Phase I Initiative.</li> </ol>

Role	Responsibility
(OMM) Program Director	<ol style="list-style-type: none"> <li>3. Oversee the development and implementation of Motorist Modernization – Phase I Projects.</li> <li>4. Liaison with the program sponsor for business resources and day-to-day activities.</li> <li>5. Report program status weekly to the OMM Leadership Team.</li> <li>6. Present monthly program status to the Advisory Board, DHSMV Governance and ESC which includes:               <ol style="list-style-type: none"> <li>a. Planned vs. actual program costs;</li> <li>b. An assessment of the status of major milestones and deliverables;</li> <li>c. Identification of any issues requiring resolution; proposed resolution for these issues and information regarding the status of the resolution;</li> <li>d. Identification of risks that must be managed; and</li> <li>e. Identification of and recommendations regarding necessary changes in the program’s scope, schedule, or costs. All recommendations must be reviewed by stakeholders before submission to the ESC in order to ensure that the recommendations meet required acceptance criteria.</li> </ol> </li> </ol>
Deputy Program Director (may also be referred to as the Office of Motorist Modernization (OMM) Deputy Program Director)	<ol style="list-style-type: none"> <li>1. Assist the Director of the Office of Motorist Modernization.</li> <li>2. Assist the Director in the successful development and implementation of the Motorist Modernization – Phase I Initiative.</li> <li>3. Liaison with the program and project managers in the development and implementation of Motorist Modernization – Phase I projects.</li> <li>4. Liaison with the Contract and Budget Consultant in the management of the Motorist Modernization – Phase I budget and contracts.</li> <li>5. Assist with reporting to OMM Leadership Team and other governing bodies.</li> </ol>
Program Manager	<ol style="list-style-type: none"> <li>1. Document program charter (objective/scope/etc.).</li> <li>2. Develop program management plans.</li> <li>3. Consolidate project plans into program plan.</li> <li>4. Report program status.</li> <li>5. Maintain program financials.</li> <li>6. Manage integrated program change control.</li> <li>7. Manage program risks, issues and action items.</li> <li>8. Facilitate team communication.</li> <li>9. Coordinate with Project Management Office and work with Project Managers.</li> <li>10. Report to Deputy Program Director.</li> <li>11. Provide daily planning, management and oversight of the program.</li> <li>12. Prepare the operational work plan with the budget amendment and provide requested updates to that plan to the ESC. The plan must specify project milestones, deliverables, and expenditures.</li> </ol>

Role	Responsibility
Enterprise Architect	<p>Develop and oversee the overall design, architecture, and development of program deliverables and enterprise architect plan.</p> <p>Establishes architectural solution recommendations and manages the database redesign resources assigned to the MM Phase I effort.</p>
Software Architect	Reports to the Enterprise Architect and is responsible for the planning and coordination of the ORION software development activities and development resources assigned to the MM Phase I effort.
Data Architect	Reports to the Enterprise Architect and is responsible for coordinating database redesign activities in support of all phases of modernization.
Infrastructure Architect	Reports to Enterprise Architect and is responsible for the planning and coordination of infrastructure related activities to support the MM Phase I effort.
Project Managers	<ol style="list-style-type: none"> <li>1. Document project charter (objective/scope/etc.).</li> <li>2. Develop &amp; update project management plans.</li> <li>3. Monitor project progress.</li> <li>4. Report project status.</li> <li>5. Maintain project financials.</li> <li>6. Manage project change control.</li> <li>7. Manage project risks, issues and actions.</li> <li>8. Facilitate team communication.</li> </ol>
Business Analyst Solutions Manager Sr. Business Analysts	<p>The Business Analyst Solutions Manager and Senior Business Analysts are responsible for the following:</p> <ol style="list-style-type: none"> <li>1. Coordinate with business stakeholders; and</li> <li>2. Provide expertise and coaching during requirement definition and validation, Quality Assurance, Design, Development and Testing efforts.</li> </ol>
Team Leads	<p>The Functional Area Team Leads responsible for the following:</p> <ol style="list-style-type: none"> <li>1. Work with the Business Analyst and Project Manager to set overall direction for the team.</li> <li>2. Report on team assignments, risks, issues and task status to the Project Manager and Business Analyst.</li> <li>3. Complete assigned tasks with regard to legacy system review, business rule definition, user story development, project documentation, etc.</li> <li>4. Manage the work assigned to members of their team(s).</li> </ol>
Contract and Budget Consultant	<ol style="list-style-type: none"> <li>1. Prepare, negotiate, manage and administer all contractual agreements associated with the Motorist Modernization program.</li> <li>2. Track and monitor the Motorist Modernization – Phase I Program budget.</li> </ol>
Communications	<ol style="list-style-type: none"> <li>1. Develop strategies and tools to inform and educate stakeholders about</li> </ol>



Role	Responsibility
Consultant	<p>the Motorist Modernization – Phase I Program.</p> <ol style="list-style-type: none"> <li>2. Manage all aspects of program communications and organizational change management (OCM).</li> <li>3. Develop print materials, prepare presentations and internal memos, and conduct meetings to share information with a variety of stakeholders.</li> <li>4. Perform formatting and proofreading of communication documents prior to release internally or externally, to ensure that they are accurate and convey the right message to recipients.</li> </ol>
Administrative Assistant	<ol style="list-style-type: none"> <li>1. Assist with the administration of the Motorist Modernization program.</li> <li>2. Perform daily administrative tasks such as maintaining information files, and creating various documents and reports.</li> <li>3. Coordinate recruitment and selection processes for OMM vacancies.</li> </ol>
Product Owner(s) Alternate Product Owner(s)	<p>The Product Owner is responsible for the following:</p> <ol style="list-style-type: none"> <li>1. Act as the Point of Contact (POC) or liaison between the business and the Project Manager and Scrum Master;</li> <li>2. Maintain and prioritize the product backlog;</li> <li>3. Provide resolution and clarification on the finalized business requirements;</li> <li>4. Assist the Project Manager with actively managing in accordance to the existing Motorist Modernization – Phase I Program scope; and</li> <li>5. Participate in sprint retrospectives and provide sign-off on retrospective outcomes.</li> </ol>
Business Analyst(s) / Scrum Master(s)	<p>Technical business analysts responsible for coordinating with stakeholders and providing program expertise through Requirements Development, Quality Assurance, Design, Development and Testing.</p> <p>It is the responsibility of the Scrum Master to:</p> <ol style="list-style-type: none"> <li>1. Analyze, review and refine the business requirements and user stories;</li> <li>2. Work with the Product Owner and Enterprise Architect to manage product backlog; facilitate sprint planning;</li> <li>3. Maintain requirement updates;</li> <li>4. Assist the Project Manager with actively managing in accordance to the existing Motorist Modernization – Phase I Program scope;</li> <li>5. Manage the daily development of the product in accordance with ISA/Service Development standards;</li> <li>6. Escalate project and product issues and/or risks to the Project Manager;</li> <li>7. Track and communicate the developers’ progress to the Project Manager using the Team Foundation Server (TFS) toolset;</li> <li>8. Coordinate technical debt or developer roadblocks with the Software Architect, Technical / Development Lead and the Enterprise Architect;</li> <li>9. Identify, remove or escalate developer impediments to the project manager; and</li> <li>10. Help the project team research consensus.</li> </ol>

Role	Responsibility
Lead Developer(s)	<p>It is the responsibility of the Lead Developer to:</p> <ol style="list-style-type: none"> <li>1. Provide direct assistance to the Scrum Master in completing requirements validation of technical requirements;</li> <li>2. Perform development foundation tasks in preparation for full-time product development;</li> <li>3. Serve as the primary lead for development teams, including onboarding and program orientation through pilot and deployment; and</li> <li>4. Provide assistance with knowledge transition.</li> </ol>
Developers	<p>It is the responsibility of the Developers to:</p> <ol style="list-style-type: none"> <li>1. Analyze, review and refine the business requirements and user stories and seek clarifications;</li> <li>2. Facilitate new requirement definition and associated user stories;</li> <li>3. Develop, unit test and address defects in the code.</li> </ol>
Technical Subject Matter Experts	<p>Work closely with the Enterprise Architect and Technical / Development Lead to contribute to the technical deliverables of the program and provide final recommendation for approval to the Program Director.</p>
Technical / Development Lead	<p>Responsible for the planning and coordination of ORION development effort in coordination with the Software Architect, Enterprise Architect, Technical Subject Matter Experts, Scrum Masters, Project Managers, and Developers.</p>
Agency for State Technology (AST)	<p>Provide monitoring and oversight on behalf of the Agency for State Technology.</p>
Support Services Vendor	<p>Provide professional consulting services as outlined in the Scope of Services agreement.</p>

### 6.10. Program Stakeholders

The Department serves more than 15.5 million licensed drivers and the registrants of 18.2 million registered vehicles. These represent the general public, commercial drivers, commercial carrier companies and other businesses that own vehicles.

The Department also serves more than two dozen other types of customers and users representing hundreds of entities. Stakeholders are often the conduit for communications to be provided to their respective constituent communities.

All of these stakeholders act as advocates for the program and often speak to the strategic business interests of the program. Promoting the program objectives to all stakeholders is key to obtaining the support needed for program success. The following table identifies the current program stakeholders with a brief description of their specific relationship to the program.

Customers/Users	Function Performed
Citizen	Deliver Motorist Services
Mobile home manufacturers	License business and inspect manufacturing
Other states & jurisdictions	Provide information on driver and vehicle records received in Florida, receive information on driver and vehicle records received outside of Florida, and information exchange related to law enforcement and homeland security
Car manufacturers	License manufacturers
Rebuilt manufacturers	Inspect rebuilt vehicles and issue rebuilt title if appropriate, allowing vehicle to be sold
Mobile home installers	License installers, train inspectors
Ignition interlock providers	License providers, track program completion and compliance
Driving Under the Influence (DUI) programs	Approve and monitor DUI programs
Commercial driving schools	Approve applications from owners and instructors
Motorcycle training schools	License and train providers
Researchers	Provide data used for research
Commercial fleet manager / independent owner-operators	Issue Commercial Driver License (CDL), International Fuel Tax Agreement (IFTA) / International Registration Plan (IRP)
Specialty plate agencies	Collect and distribute revenue from sale of specialty tags

Customers/Users	Function Performed
Non-profit Organizations	Distribute voluntary contributions
Tax Collectors	Provide systems and support for the issuance of credentials
Private tag agencies	Provide systems and support for the issuance of credentials
Car dealers	Licensed by the Department
Electronic Filing System Vendors	Provides an interface for dealerships to have real time access to vehicle registration and title information from the Department
Commercial data purchasers / entities with Memorandums of Understanding (MOU) with Department	Provide Motorist Services information to the commercial entities
<p>Other Federal, state and local entities, e.g.:</p> <p>Florida Department of Revenue</p> <p>Florida Department of Business and Professional Regulation</p> <p>Federal DOT/ Motor Carrier Safety Administration and Federal Highway Administration</p> <p>Social Security Administration</p>	<p>Provides information to other government entities.</p> <p>Consumes information from other government entities.</p>
Selective Service Administration (SSA)	Provide information for registering people eligible for the draft
Donate Life Florida	Register people for organ donation
Supervisor of Elections	Provide information for registering potential voters
Courts	Provide Motorist Services information to aid in sanctions or judgments
Department of Revenue/Children of noncustodial parents	Suspend driver licenses of noncustodial parents that do not meet their court-ordered child support obligation

Customers/Users	Function Performed
Florida Highway Patrol / Law enforcement	Provide access in order to lookup identity information and other information related to maintaining public safety
Florida Department of Law Enforcement (FDLE)	Report changes of address for offenders
Department Vendors (e.g., Pride, MorphoTrust, etc.)	Contracts with vendors to provide commodities, equipment, and or services
American Association of Motor Vehicle Administrators (AAMVA)	Department accesses a clearinghouse of motorist information for member states
IFTA / IRP Inc.	Department access and provides information for member states
Electronic Lien and Title Vendors	Support use of an interface for financial institutions to have real time access to vehicle registration information
Insurance Companies	Perform verification of driver insurance information

# 7. Human Resource Management

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## ***7.1. Resource Planning and Management***

Human resource management is the process developed to effectively identify, acquire, and manage the resources needed to meet the program objectives. This includes defining what resources are needed, assessing appropriate skill sets, and determining when and how long resources are needed for the program. As such, the procedures within the resource management plan focus on assessing a resource need by project, escalating the need to program leadership and managing the need through work re-assignment, training or on-boarding of additional personnel.

Please refer to the Motorist Modernization – Phase I Program Resource Plan developed as part of the program initiation activities. The resource plan includes, for each anticipated person: the role on the program, the anticipated start date, the duration the resource will be needed and their assigned supervisor. The most current version of the resource plan shall be kept as part of the Project Control Book.

Program resource planning does not account for resources contracted through the Support Services vendor. Program resources are defined in Section 6.6, Program Team and further defined in Section 6.9, Program Team Roles and Responsibilities.

## ***7.2. DHSMV Operations Resources***

Subject matter experts (SMEs) will be required from appropriate business areas. The Program Manager, Project Manager, or Business Analyst may identify a specific resource need. Once identified, the Program Manager shall be responsible for providing the detail surrounding the need, including the duration of the resource need, tasks assigned, and percentage of time the resource will be needed for the duration specified. The detailed request will be escalated according to the Decision Escalation Matrix referenced in Section 6.7 for consideration and resolution.

## ***7.3. Resource On-Boarding***

Program leadership is committed to ensuring full-staffing of the Program Team in keeping with the commitment to the Program as the Department's number one priority. As positions are vacated, every attempt will be made to back-fill with competent personnel as quickly as possible to minimize gaps in continuity. Once a vacancy or need for a new resource is identified within the Program Team, the Program Director (and Deputy) will work closely with the Program Manager, Contract and Budget Consultant and Administrative Assistant to facilitate the hiring process. Upon selection of a new resource, the Program Manager, Contract and Budget Consultant and Administrative Assistant will work collaboratively to ensure that they have all necessary equipment and software, and are properly on-boarded.

Once a specific resource has been identified, the Program Manager or specific Project Manager should update the resource plan and complete the role information / equipment and remote-access needs. Coordination of the security clearance and associated testing will be completed by the Administrative Assistant. As decisions are made, the Program Manager as well as the Administrative Assistant should be kept informed.

Security role provisioning should be completed by the project supervisor in accordance with Department standards and procedures.

New project resources should complete a review of the following documents:

- Schedule IV-B for Motorist Modernization Phase I
- Program Management Plan
- Project Charter
- Project Management Plan
- Specific deliverables and/or project artifacts as determined by the supervisor

#### ***7.4. Resource Roll-off or Anticipated Vacancy***

As the determination is made for a resource to roll-off or vacate their position on the project, the Project Manager should update the resource plan with the anticipated roll-off date and communicate that to the Program Manager and/or the vendor's Project Management Office (contracted staff).

Resources should complete the following activities:

- Complete any outstanding tasks;
- Document with their supervisor a transition plan (if required) and complete transition activities; and
- Post any project artifacts to applicable repository and notify supervisor.

The project manager or their designee shall confirm the resource has rolled-off and notify the DHSMV Technical Assistance Center (TAC) in order to adjust/remove system, network access.

Resource Management includes the processes that organize and manage the project team. The project team is often comprised of the people who have been tasked with roles and responsibilities for completing the project according to the defined scope. The project manager will be made aware of any resource changes that could affect the Motorist Modernization – Phase I Program. This resource change will be documented in the project risk register.

Resources will be requested, allocated and assigned according to the Decision Escalation Matrix referenced in Section 6.7.

## 8. Cost Management

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### **8.1. Program Estimated Budget**

The Legislative Budget Request (LBR) submitted for FY 2014-15 through FY 2019-20, estimated Phase I program costs at \$36.7 million over five years. The budget for this program will be co-managed by the Program Manager and Contract and Budget Consultant. For detailed budget information, please refer to the *Schedule IV-B Cost Benefit Analysis (CBA)* stored on SharePoint.

### **8.2. Spend Plan**

The Contract and Budget Consultant will develop an overall Program Spend Plan for each fiscal year that estimates the anticipated budget by month. The same budget information will be recorded in the PPM tool each month for monitoring and tracking by stakeholders.

The Contract and Budget Consultant will review the budget information for all projects within the program once a month with the Program Manager and update the spend plan monthly to reflect actual expenditures to date for reporting to IV&V, AST, and the ESC. Applicable updates will also be made within the PPM toolset.

### **8.3. Budget Monitoring**

Once a month, the Contract and Budget Consultant and Program Manager will jointly review the planned budget and actual expenditures tracked in the Spend Plan to determine if the program is efficiently spending the resources. As specified in Section 12.6, Quality Assurance Assessments – Internal and External, the Contract and Budget Consultant will review the Budget to Date as well as the overall Budget and report any variance.

All Project Managers will notify the Program Manager (and Contract and Budget Consultant) in writing as to any anticipated budget revisions, the cause, and the impact to the project. In addition, the notification shall indicate when a decision is needed. This information shall be what is then used to initiate the Issue Management and Resolution process or the Change Control process, as agreed to by the Project and Program Managers. For specific information on how budget issues will be handled, please refer to the Decision Escalation Matrix referenced in Section 6.7.



## 9. Time Management

### 9.1. Time Management Overview

Time management refers to the processes required to ensure timely completion of the program objectives. The Program Manager is responsible for establishing the baseline and updating the IMS weekly with input from the respective project managers and teams.

- The IMS will be resource leveled. Resource leveling is the project management function of resolving resource over-allocation. By definition, over-allocation means that a resource has been assigned more work than can be accomplished in the available time as dictated by the resource's calendar definition.
- Tasks will be completed according to the program schedule and within the established timeframes. In the event of a slipping task, the process described in the section below will be followed.

Please refer to the *MM Phase I MASTER Program Schedule* located in the PCB.

Due to the complexities of trying to upload the IMS into the current PPM toolset, the IMS will instead be managed in Microsoft Project. As a result, only key milestones will be extracted from the IMS and tracked in the PPM toolset.

### 9.2. Managing the IMS

The IMS will be updated on a routine basis with input from the individual project managers and respective teams. The initial baseline will be set in Microsoft Project as “Baseline 0.” Motorist Modernization – Phase I Project Managers will be responsible for tracking and managing individual project tasks and reporting any slippage.

- The Program Manager will co-manage updates to the IMS with the Project Managers on a weekly basis. Information will be collected via weekly team meetings, analyzed, and reviewed collectively prior to incorporation. The updated IMS will be made available to all team members, reported in weekly status reports / meetings, and communicated to all governing bodies.
- Motorist Modernization – Phase I Project Managers will oversee the development of specific project tasks, and manage resources to ensure that individual project objectives are met within the established timeframes.
- Weekly updates shall focus on recording the percent complete for tasks in 10% increments. Table 9-1 details who is responsible for what, and how often:

Responsible Lead	Description	Frequency
Program Manager	Percent complete for all program tasks	Weekly
Project Manager(s)	Percent complete for all project tasks	Weekly
Scrum Master(s)	Status updates for development and testing	Weekly

**Table 9-1 IMS Update Responsibility**

Schedule changes will be managed according to the Decision Escalation Matrix referenced in Section 6.7. Changes will follow the Change Management Process documented in Section 11. Schedule changes approved by the appropriate governing body will be documented in a separate spreadsheet that tracks the detailed description of the change, the person making the change, the version number of the schedule altered, and the rationale behind the requested change. Changes may not require an entirely new baseline and thus the baseline will also be tracked to document specific line item changes.

### **9.3. Slipping Tasks**

A slipping task is a task that is not going to be completed on or before the scheduled date. Tracking and managing specific project tasks shall be the responsibility of each Motorist Modernization – Phase I Project Manager. If a member of the project team anticipates that a project task may not be completed by the established deadline, the team member will notify the Project Manager immediately via e-mail. The e-mail should include the cause for the delay and a new date by which the task will be completed. The Project Manager will assess the project schedule for impact and either adjust the schedule or escalate the issue to the Program Manager for further discussion. Depending on the schedule delay, changes will need to be escalated according to the Decision Escalation Matrix referenced in Section 6.7. The slipping task and impact will also be reported at the weekly Project Status Meeting.

The Project Manager will perform the following tasks to manage the project schedule:

- Review progress during the status meeting. This will identify slippage early in the process and allow for response.
- Review progress, at the status meeting, to verify that work is proceeding as previously scheduled. This will include walkthroughs of the products, artifacts, and deliverables.
- Review progress and discuss strategy with the Program Manager.
- Based on the criticality of the tasks, the Project Manager will:
  - Establish response plans for the slipping tasks
  - Determine the impact to schedule and budget
  - Inform the Project Team of the overall impact of the slippage, identify associated tasks that are also in jeopardy, and present a response strategy. The Project Manager will schedule a meeting with the Business Lead and inform the Project Sponsor if a task slippage impacts a deliverable or milestone. Options and impacts will be presented at the meeting.
  - Document the slippage and response strategy in the next Project Status Report.

### **9.4. Monitoring and Tracking Schedule Progress**

In accordance with the Agency for State Technology (AST) and IV&V program management expectations, the IMS will be tracked and monitored using the Schedule Performance Index (SPI) noting any standard deviations above or below 10% from the planned and actual start/finish dates.

### 9.5. Work Breakdown Structure (WBS)

Figure 9-1 Work Breakdown Structure (WBS)<sup>3</sup> illustrates the hierarchical structure of the tasks required to meet the program objectives and detailed in the IMS.

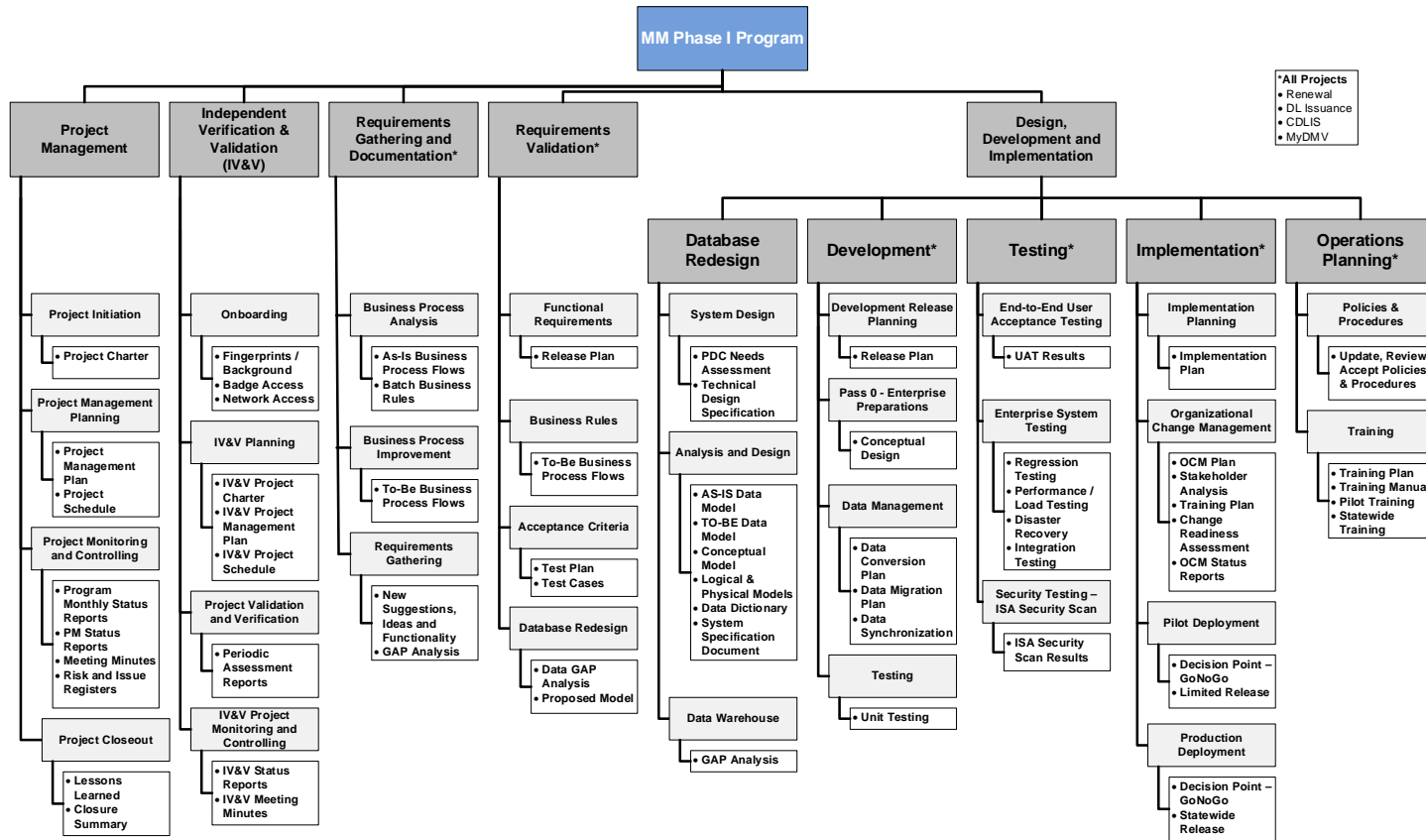


Figure 9-1 – Work Breakdown Structure

<sup>3</sup> Some items listed in the WBS are in progress in the IMS but this diagram represents the structure by which the IMS will be developed and managed.

# 10. Risk and Issue Management

## 10.1. Defining a Risk

The risk and issue management plans are critical procedures for the Motorist Modernization – Phase I Program and all related projects. A risk can be defined as an uncertain event or condition that, if it occurs, has a positive or negative impact on program’s objectives. Risks and issues will be managed at the project level as detailed in this plan. However, risks and issues pertinent to the overall Program will be maintained in a separate risk register and issue log in the PPM tool for program monitoring and reporting.

The Program Manager will monitor all program risks on an ongoing basis and maintain the risk register in the PPM tool which includes the following information:

Risk Details	Description
Risk ID	The auto-generated numeric ID assigned upon entry into the PPM tool.
Risk Name*	The short risk name <b>Note:</b> In the case of Program level risks, the name will be “Risk #” which may or may not match the Risk ID. The intent is to have the identifier available on printed reports.
Risk Status*	Auto-populated field noting the status of the mitigation plan: <b>New:</b> Default value. Leave until initial risk review has occurred. <b>Mitigation Plan Defined:</b> Status of all risks actively accepted or being mitigated. <b>Risk Became Issue:</b> Status of risks escalated as an issue. Record the associated Issue Number in the Resolution field. <b>Closed:</b> Status of resolved risks that were not escalated to issues.
Assigned To*	The person assigned for overall risk responsibility
Risk Description	A detailed description of the risk Risks should be documented using an “If...then...” framework to clearly capture the potential risk and impact in the statement.
Impacted Areas*	Areas the risk could impact—check all that apply—budget, equipment, management, physical, schedule, scope, staffing
Date Logged	The auto-generated date and time stamp the risk is entered into the PPM tool
Probability of Occurrence*	Ranking the potential for risk occurrence: <b>Low:</b> <10% chance of risk realization

Risk Details	Description
	<p><b>Medium:</b> 10%-60% chance of realization</p> <p><b>High:</b> &gt;60% chance of risk realization</p>
Mitigation Approach*	<p>The risk response:</p> <p><b>Accept:</b> This approach reflects a risk that is acknowledged as valid, but cannot be avoided or mitigated</p> <p><b>Avoid:</b> This approach reflects a risk where steps are taken to disengage any activities associated with the inherent risk.</p> <p><b>Transfer:</b> This approach reflects a risk that is transferred to another entity not associated with the Motorist Modernization Program of Driver License Issuance project.</p> <p><b>Mitigate:</b> This approach reflects a risk that has one to many identified actions that can be taken to reduce the probability and/or impact should the risk be realized.</p>
Impact*	<p>The probable impact on the Project the risk would have if realized. Some risks could have a high probability, but the impact be low and vice versa.</p> <p><b>Low:</b> Variance to impacted area is anticipated to be &lt; 10%</p> <p><b>Medium:</b> Variance to impacted area between 10%-25%</p> <p><b>High:</b> Variance to impacted area is anticipated to be &gt; 25%</p>
Mitigation Description	Detailed risk response
Anticipated Resolution Date*	The latest date in the mitigation plan's anticipated action completion. If there is no mitigation plan yet documented OR the risk is merely "accepted", record the Wednesday 2 weeks out from the current date.
Actual Resolution Date	The actual resolution date when the risk is either closed, transferred or escalated to an issue.
Resolution	<p>A chronological history of the activities taken to manage this risk. Latest entry should be listed at top. Each entry should begin as follows:</p> <p style="text-align: center;"><b>&lt;MM-DD-YYYY&gt; author of update (i.e., First Initial. Last Name)</b></p>
Logged By	The person entering the risk into the PPM tool

\*Fields with an asterisk are required in the PPM tool.

**Table 10-1 Risk Details**

## 10.2. Risk Management Strategy

### Risk Identification Process

Risks for the program may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, or documented in meeting minutes) and provided to the Program Manager, who will then add the item to the risk register in the PPM tool. All risks (new and existing) are reviewed weekly and presented at the weekly status meeting for progress tracking. The Program Manager will review the risk register and discuss identified risks with the Deputy Program Director as needed. All risks will be managed according to the Decision Escalation Matrix referenced in Section 6.7.

### Risk Evaluation and Scoring

Risk probability is a measure of the likelihood that a certain risk will occur. The probability of occurrence for the risk can be defined on a level from 1-5. Risk impact is a measure of the expected degree of impact that the risk, if it occurs, will have on the program. The degree of impact for the risk can be defined on a level from 1-5. The Program Manager will calculate the risk score as the product of the risk probability score and impact score when both are multiplied. Each program risk shall be scored and included in the weekly review and presentation at the weekly status meeting for progress monitoring and tracking. Figure 10-1 illustrates the priority matrix once the probability and impact for each individual risk has been assessed.

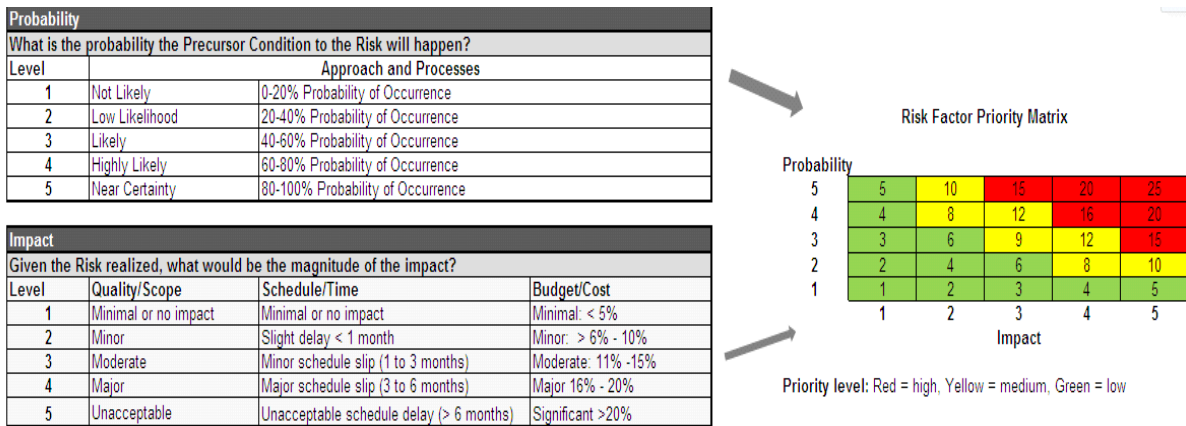


Figure 10-1 – Risk Scoring Matrix

For high risks, mitigation plans will be developed to eliminate the risk or the potential impacts to the program. All high level risks will be documented and communicated to the ESC for review and evaluation.

### Risk Plan Maintenance

The Program Manager meets weekly with the Program Team to discuss any new risks or issues and review ongoing risk mitigation plans. Subsequent to the meeting, the Program Manager will update the risk details in the PPM tool as necessary and include in weekly reporting to OMM Leadership.

Figure 10-2 and Figure 10-3 both illustrate the Motorist Modernization – Phase I Program Risk Management Process.

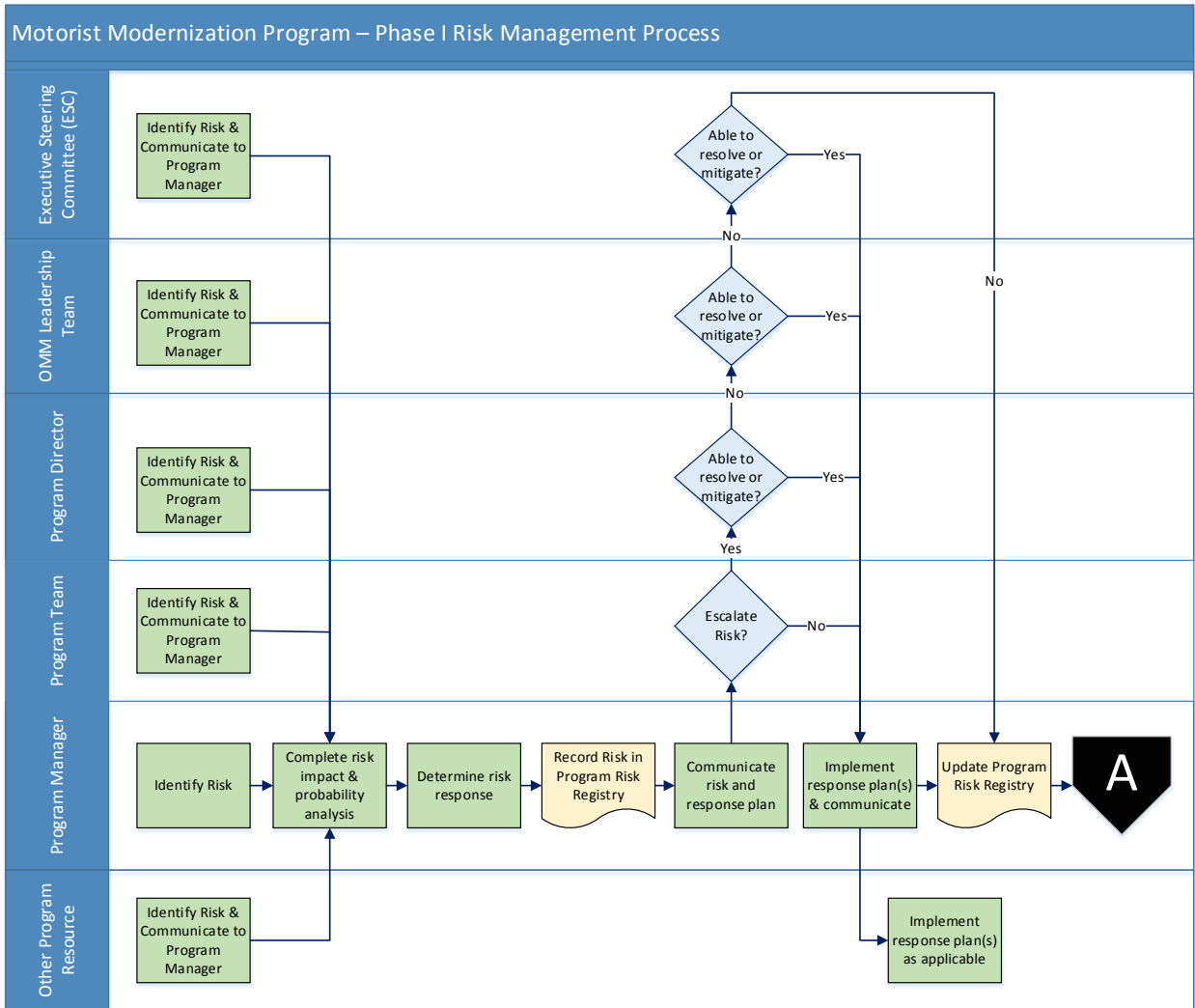


Figure 10-2 – Risk Management Process (1 of 2)

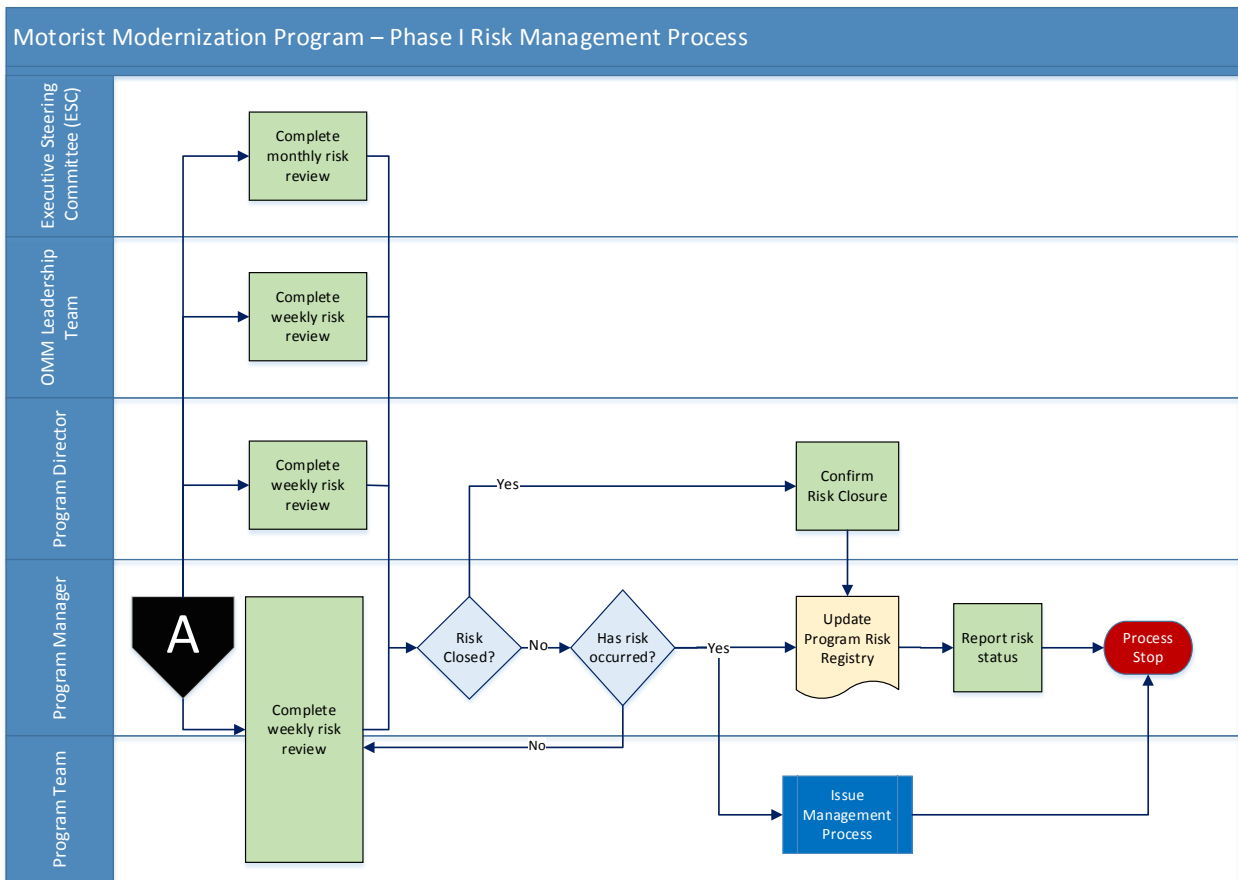


Figure 10-3 – Risk Management Process (2 of 2)



### 10.3. Issue Management and Resolution

All issues will have a plan for management and resolution which will be developed to eliminate potential impacts to the program.

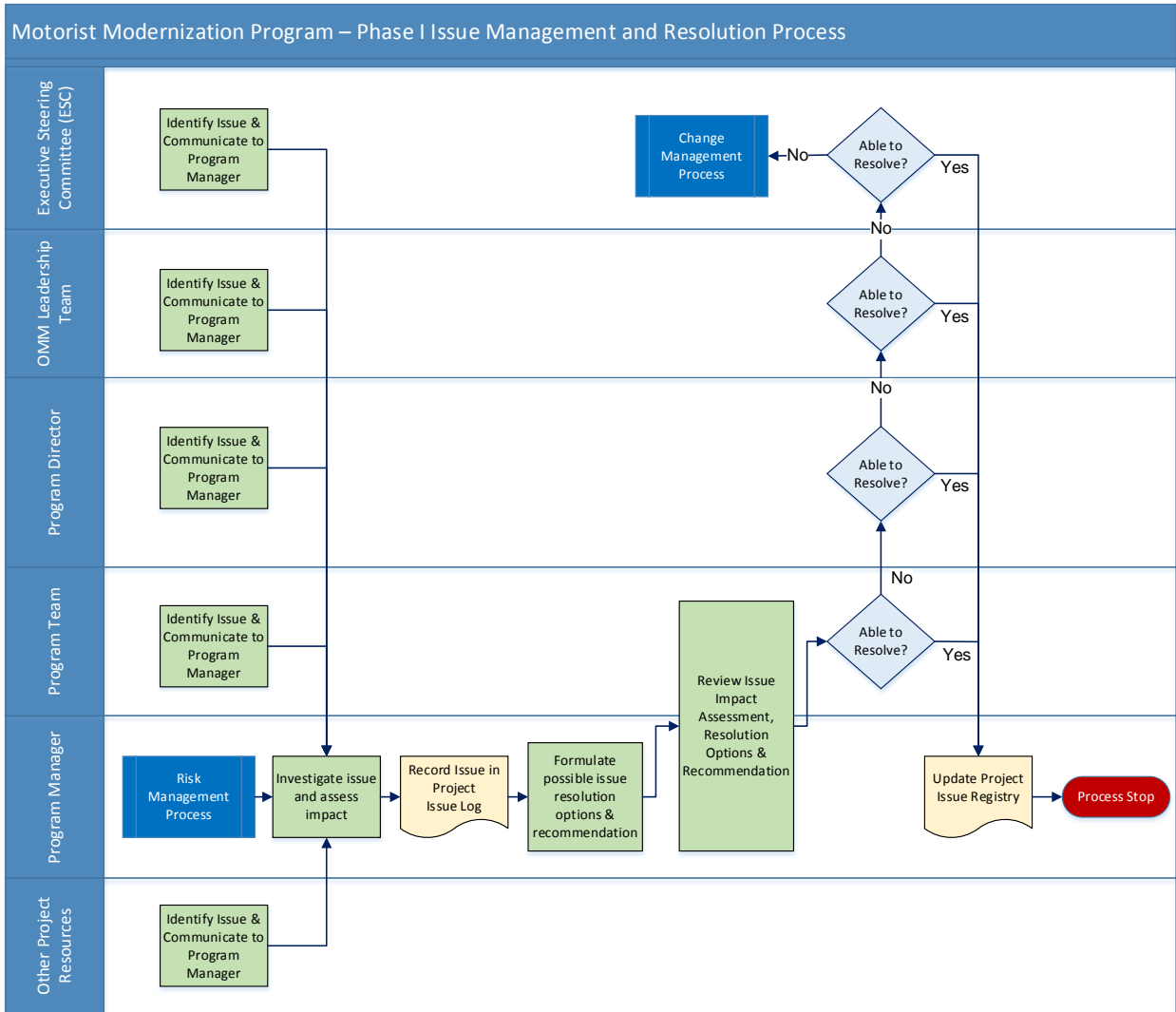


Figure 10-4 illustrates the issue management process. The Program Manager will monitor all program issues on an ongoing basis and maintain the issue log in the PPM tool which includes the following information:

Issue Details	Description
Topic*	The short description of the issue. If this issue is a risk that is being escalated, use "Risk Name" in this field.
Description	A detailed description of the issue. If escalated from a risk, please note that and the date it moved to an issue.
Start Date*	Date the issue was escalated from a risk OR date program team became aware of the issue.

Issue Details	Description
Deadline*	Date by which the issue needs to be resolved or, if applicable, escalated.
Priority	<p>Ranking the issue priority:</p> <p><b>Low:</b> Minimal impact to the project or program.</p> <p><b>Medium:</b> Progress disrupted with manageable extensions to short-term schedule and cost.</p> <p><b>High:</b> Significant disruption to program schedule (i.e., Greater than 2 weeks for key milestones), cost (i.e., greater than \$10,000 increase), or quality. Threatens the success of the program OR the issue requires escalation to the next tier of the Motorist Modernization Program Governance structure.</p>
Budget Impact	Numeric field to record the proposed budget impact. This field will not be utilized at this time.
% Complete*	<p>Numeric field to record the percent complete status for the issue and proposed mitigation strategy:</p> <p><b>0%</b> - Issue has not been assigned and/or no activity has been initiated to resolve the issue.</p> <p><b>50%</b> - Issue resolution is in progress and there is no concern about the resolution being achieved by the deadline date.</p> <p><b>100%</b> - Issue has been resolved.</p> <p><i>Note: This will need to be updated weekly</i></p>
Assignee(s)	<p>The person(s) assigned to the issue</p> <p><i>Note: The PPM tool generates an automatic notice to all assignees</i></p>

\*Fields with an asterisk are required in the PPM tool.

**Table 10-2 Issue Details**

# 11. Change Management

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The change management process detailed in this document is intended to provide the Motorist Modernization – Phase I Program and subsequent projects with a guide for how the program will identify, document, analyze, escalate, approve, and communicate changes to scope, schedule, and cost. The change management process is used in any situation where a change occurs to the program's scope, schedule, cost, area of responsibility, or a vendor's scope of services. Scope is further defined in the requirements for the program, which will be baselined following the requirement confirmation process and prior to the design process.

Below are examples of causes for a change request.

- A request to add functionality / scope
- A change in defined and agreed upon requirements (additions and deletions)
- A change to a design after agreement and build and test activities have started
- A modification to the delivery or release schedule
- A change to comply with mandate from inter-related initiative
- A change to comply with legal and/or regulatory requirements
- A change due to a requirement that cannot be met
- A change due to solution / product limitations
- Changes to an approved Document Expectation Document for a deliverable

## **11.1. Documenting the Proposed Change**

A change can be identified by anyone working on a Motorist Modernization – Phase I Program project. Changes to scope, schedule, and/or budget will be documented in a formal Change Request. The need for the proposed change request, and resulting impact if completed/not completed, should be submitted in writing to and/or discussed with the Product Owner(s), Project Manager and/or Program Manager. Upon agreement that the change should be escalated, the requester (via the Project or Program Manager) shall document a formal Change Request (CR) form. The Program Manager will record it in the Change Log spreadsheet and assign a Change Request Number (CR#).

The Project Manager, with consultation from the Program Manager and/or Product Owner, will perform a further impact analysis to confirm possible impacts to the projects and/or program should the change not be pursued. He/she shall also work with the team to determine if there are additional options that should be explored to effectively, efficiently make the change. Upon completion of this analysis, the Program Manager shall submit the Change Request for review by the appropriate governing body according to the Decision Escalation Matrix referenced in Section 6.7.

## **11.2. Processing the Change Request**

Once the CR has been documented, it will be presented to the appropriate program governance body, who will then review and make a recommendation to escalate, defer, approve, or disapprove the CR. If approved, the CR and all supporting documentation will be added to the PCB and the CR will be communicated to the Advisory Board, ESC, and Tier III Governance. From there, the Project or Program Manager will re-baseline the schedule and budget, and update any other relevant program documentation as appropriate (Change Log, Gap Analysis, etc.). Should there be any dispute on the handling of a CR, the CR in question

should be escalated to the ESC. If rejected, the Program Manager will notify the requestor and document the decision in the Change Log.

In some cases, the CR may be deferred. If deferred, the Program Manager will document the decision in the Change Log and the request will be routed through the entire process again at a later date.

For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 6.7.

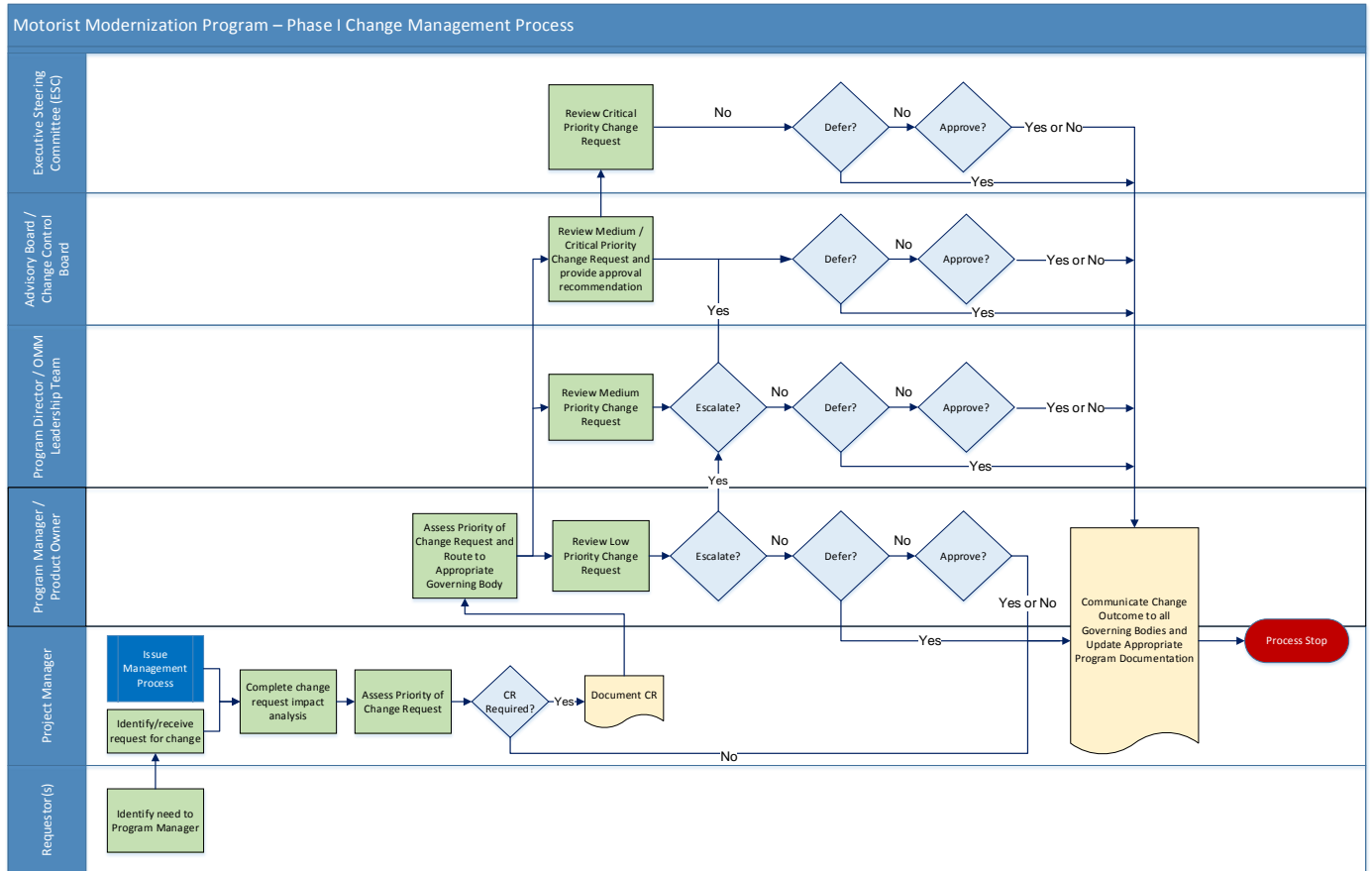


Figure 11-1 – Change Management Process

**11.3. General Change Requests and Modernization**

The OMM recognizes the ongoing maintenance and work to current systems. All change requests received by the Service Development team or the PMO via WRAP will be evaluated by the assigned Project Manager and then routed through Program Manager to help streamline resource assignments, eliminate redundant efforts and optimize modernization and business process efficiencies. Change requests will follow the same process documented in this section and escalation will follow the Decision Escalation Matrix referenced in Section 6.7.

#### 11.4. Agile Development-related Change Requests

Throughout the Motorist Modernization program's development phase, there will be changes that apply directly to the program's agile<sup>4</sup> scope, schedule and/or cost (as documented via the Release Plan and Product Back-log). These types of changes are handled in a slightly different manner than general program change requests. Here are the levels of agile development-related changes that may occur and necessary actions for each.

Level	Attributes	Reviewer(s) / Approver(s)
Level 1 (Low)	<p>Changes that occur as a result of delivery of a single user story or impact multiple user stories within the same team. These include:</p> <ul style="list-style-type: none"> <li>• Changes that are associated with how the user story is implemented. For example: The layout of a screen, formatting of text, back-end rules of a data field, table elements, conditions of a query, etc.</li> <li>• Changes that impact user stories assigned to the same team. For example: A minor business rule change that impacts multiple test cases, screen/business rule changes that impact multiple stories, screen language/verbiage, field validation conditions not impacting the data layer, etc.</li> <li>• Changes resulting in minor refinements to test cases / development estimates.</li> <li>• Changes resulting in development and testing that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes resulting in minor refinement to training curriculum and/or material that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes that <u>do not</u> generate the need for an additional development Sprint or elimination of a planned development Sprint.</li> <li>• Changes that <u>do not</u> impact the program's overall release scope or schedule (may be absorbed in the product backlog, no refactoring required).</li> </ul> <p>No formal change request is required for Level 1 changes, as these are an aspect of using an iterative approach to software development. These changes may be managed by the Product Owner. Level 1 changes are documented by the Scrum Master in Blueprint and Team Foundation Server (TFS).</p>	Product Owner / Program Manager / Project Manager
Level 2 (Medium)	<p>Changes that impact multiple teams. These include:</p> <ul style="list-style-type: none"> <li>• Changes that involve minor functional or formatting change that impact user stories being implemented by multiple teams. For example: Modifications to common rules, shared letters/correspondence, table changes (with no changes in schema), etc.</li> <li>• Changes that impact multiple testing and development</li> </ul>	Product Owner / Program Director

<sup>4</sup> Agile is relating to or denoting a method of project management, used especially for software development that is characterized by the division of tasks into short phases of work and frequent reassessment and adaptation of plans.

Level	Attributes	Reviewer(s) / Approver(s)
	<p>teams; however, these are refinements that may be absorbed in an existing development Sprint or Hip sprint.</p> <ul style="list-style-type: none"> <li>• Changes resulting in minor refinement to training curriculum and/or material that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes that <u>do not</u> generate the need for an additional development Sprint or elimination of a planned development Sprint.</li> <li>• Changes that <u>do not</u> impact the program’s overall release scope or schedule (may be absorbed in the product backlog, no refactoring required).</li> </ul> <p>Ideally, the Product Owners associated with the impacted teams will be able to coordinate the change. No formal change request is required for Level 2 changes. The request will be logged in the program’s change request tracker and reviewed each week with the program team and product owners. Level 2 changes are also documented by the Scrum Master in Blueprint and Team Foundation Server (TFS).</p> <p>If product owners are not able to reach agreement, the change will be elevated so that a formal decision can be made (Level 3).</p>	
<p>Level 3 (Medium) (Critical)</p>	<p>Changes to basic functionality. These include:</p> <ul style="list-style-type: none"> <li>• Changes to add, delete or modify basic functionality, which impacts the overall release scope, schedule and/or cost. For example: New screens, new functional/nonfunctional requirements, WRAPS, legislative changes, etc. <ul style="list-style-type: none"> <li>○ Additions/modifications will require user story definition, estimation, refinement (grooming), etc. for insertion into the product backlog within the appropriate release and sprint.</li> </ul> </li> <li>• Changes that generate the need for an additional development Sprint or elimination of a planned development Sprint.</li> <li>• Changes that impact the program’s overall release scope or schedule (refactoring required).</li> <li>• Changes resulting in modifications to approved training curriculum and/or material (modules).</li> </ul> <p>Level 3 changes must be fully documented with a change request and follow the formal change management process, which includes a review by the program’s CCB. Also, in accordance with the program’s Decision Escalation Matrix referenced in Section 6.7, Medium Level 3 change requests may be approved by the Program Director, and Critical Level 3 changes will require approval by the Executive Steering Committee. All change requests, whether approved, denied or rejected will be presented to the Advisory Board and ESC.</p>	<p>Change Control Board (bi-monthly) / Program Director / Executive Steering Committee</p>

## 12. Quality Management

### 12.1. Quality Management Approach

As part of the reporting and monitoring to be done by IV&V, the program will implement quality metrics to support transparency, traceability, and accountability against program objectives and benefits realization. The following tools will be used to manage quality of the program:

Tool	Description
Earned Value Management (EVM)	The Integrated Master Schedule (IMS) will be analyzed for earned value (EVM) against the baseline.
Budget Variance	The Integrated Master Schedule (IMS) and Spend Plan will be analyzed for cost performance against the baseline.
Schedule Performance Index (SPI)	The Integrated Master Schedule (IMS) will be analyzed for schedule performance against the baseline.
Status Reports	<p>The Program Manager will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current Program activities, and assess the likelihood of achieving key milestones. These status reports will also help monitor lessons learned and identify improvements for future phases of the Motorist Modernization Program.</p> <p>The weekly status report currently includes information to derive the following quality indicators:</p> <ul style="list-style-type: none"> <li>• Progress against the baseline plan's key milestones</li> <li>• Deliverables Progress – timeliness of submission, reviews, approvals are key quality aspects for deliverables</li> <li>• Issues - Number of open priority issues and aging of issues</li> <li>• Risks - Total number of open Medium and High Risks</li> <li>• Action items - Number and aging of open action items</li> </ul> <p>Project Managers for each project will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current project activities, and assess the likelihood of achieving key milestones.</p> <p>The Support Services vendor will produce:</p> <ul style="list-style-type: none"> <li>• Weekly status reports for stakeholders</li> <li>• Monthly summary status reports for stakeholders</li> </ul>
Deliverable Expectations Document (DED)	<p>The Program Team will work with the Vendor to document acceptance criteria for each deliverable, identify appropriate reviewers, and streamline the deliverable review process.</p> <p><b>Note:</b> A template for the Deliverable Expectation Document is located</p>

Tool	Description
	in the Project Control Book.

The purpose of the Quality Management Plan is to outline the processes to instill quality in the deliverables produced and services provided. The plan outlines both quality assurance activities as well as quality management metrics.

The objectives of the Quality Management Activities are to:

- Identify and correct defects early in the process
- Evaluate a deliverable against program standards and deliverable expectations
- Reduce the number of errors as the work effort progresses
- Reduce time and costs resulting from rework
- Monitor adherence to agreed-upon program processes

For purposes of this document, quality is defined as the degree to which a system, deliverable, or process meets specified requirements. The Quality Management Plan is made up of quality activities that fit into three main categories:

- Deliverable Quality
- Process Quality
- System Quality

The following sub-sections outline the key activities within the deliverable quality assurance, process quality management, and system quality categories.

**12.2. Requirements Documentation**

The process overview for gathering and documenting requirements from suggestions and ideas through deployment can be found in the *Requirements Gathering Process Overview* document located in the PCB. All requirements will be stored in a consolidated repository using a requirements management software tool.

**12.3. Deliverable Quality**

Deliverable Quality is used to evaluate whether program deliverables comply with the standards and objectives of the stakeholders. A key step in formulating a quality deliverable is to establish a shared set of expectations of what should be contained within the deliverable, who should contribute to the deliverable, and ultimately who will be involved in the review and approval of the work product.

These tenets of the formal Project deliverables will be documented and agreed to as part of the Program’s Deliverable Review Process.

**12.4. Deliverable Review Process**

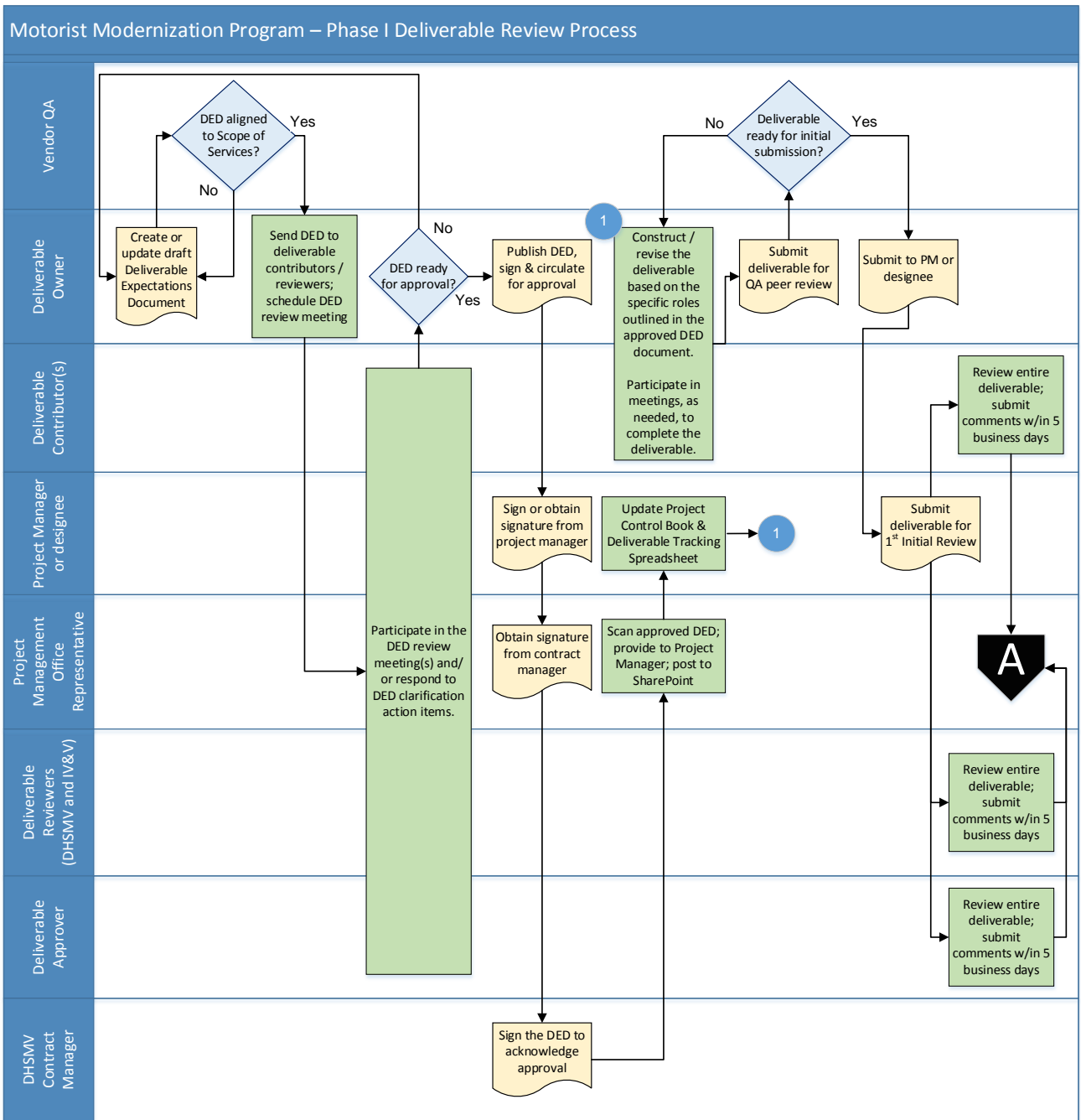
Prior to starting the work to gather input and construct a deliverable, the Program Manager and deliverable author will confirm those individuals that will be responsible for contributing to and/or reviewing a deliverable. The Project Manager or deliverable owner will draft a Deliverable Expectation Document (DED) for the deliverable. The DED provides the author(s) guidance and direction on the deliverable format, level of detail, identifies individuals that will



contribute to the deliverable, confirms the deliverable reviewers and reiterates the deliverable's deadlines.

The DED is an important project artifact in aligning expectations for the deliverable, defining specific roles for the deliverable and is used in the quality assurance peer reviews for each submission. For each deliverable (regardless of phase or deliverable review cycle), the peer review step relies on two documents to guide the quality assurance review: the approved DED and the consolidated comments from all reviewers noted in the approved DED as well as IV&V. Prior to the initial deliverable submission, the peer reviewer will make sure all sections in the DED are represented and address the content and format expectations outlined. For subsequent submissions, the peer reviewer will still evaluate the deliverable against the DED as well as evaluating the work product updates (or comment response) that were made for each comment received from the reviewers.

Outstanding points identified from the peer review are returned back to the author(s). When another draft of the deliverable is available, the peer review process repeats. Figure 12-1, Figure 12-2, and Figure 12-3 illustrate the deliverable review process, including the quality assurance peer review(s). Within the approved DED, specific individuals are aligned to one or more of these roles reflected in the Deliverable Review Process.



**Figure 12-1 – Deliverable Review Process (1 of 3)**

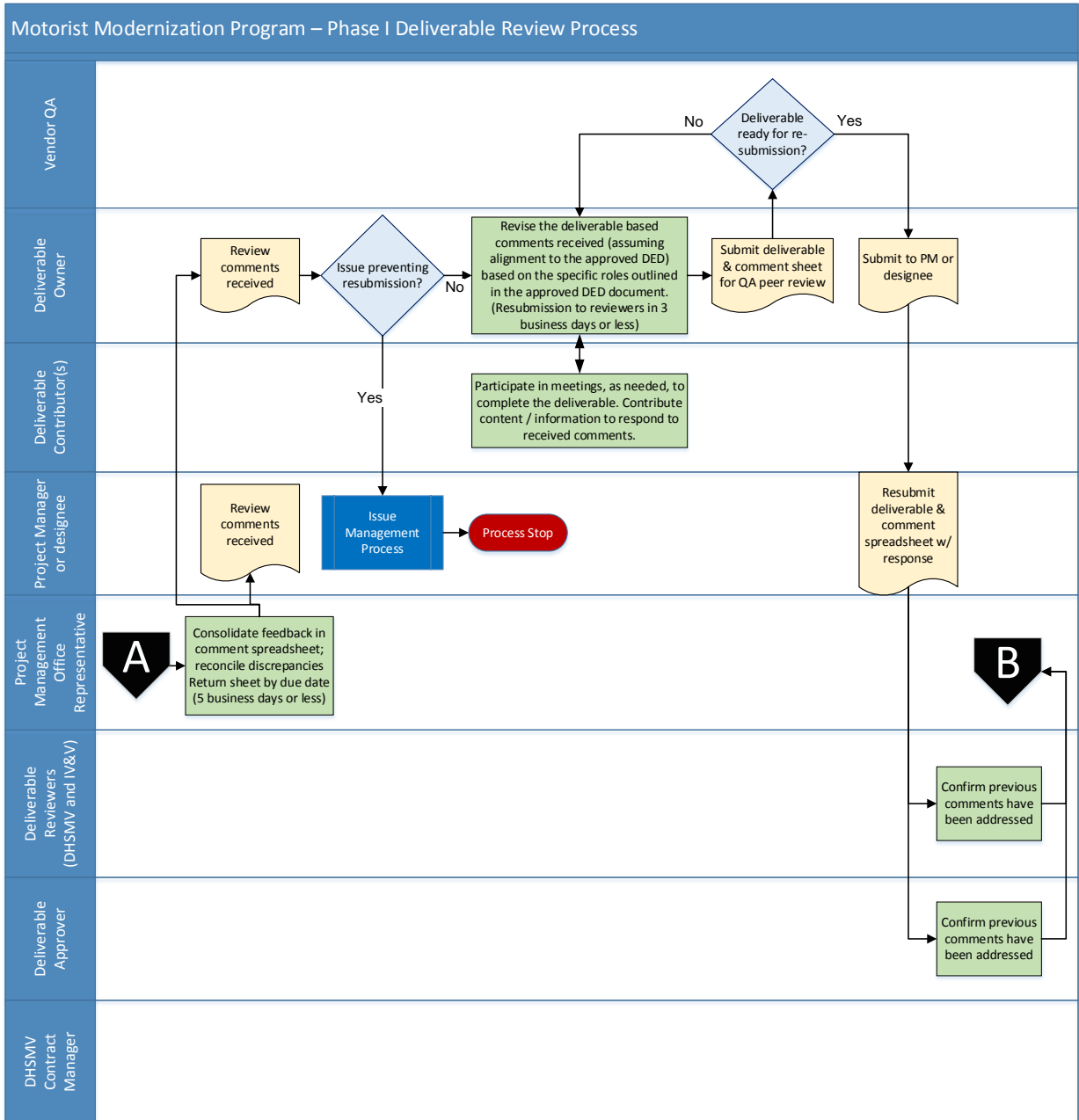


Figure 12-2 – Deliverable Review Process (2 of 3)

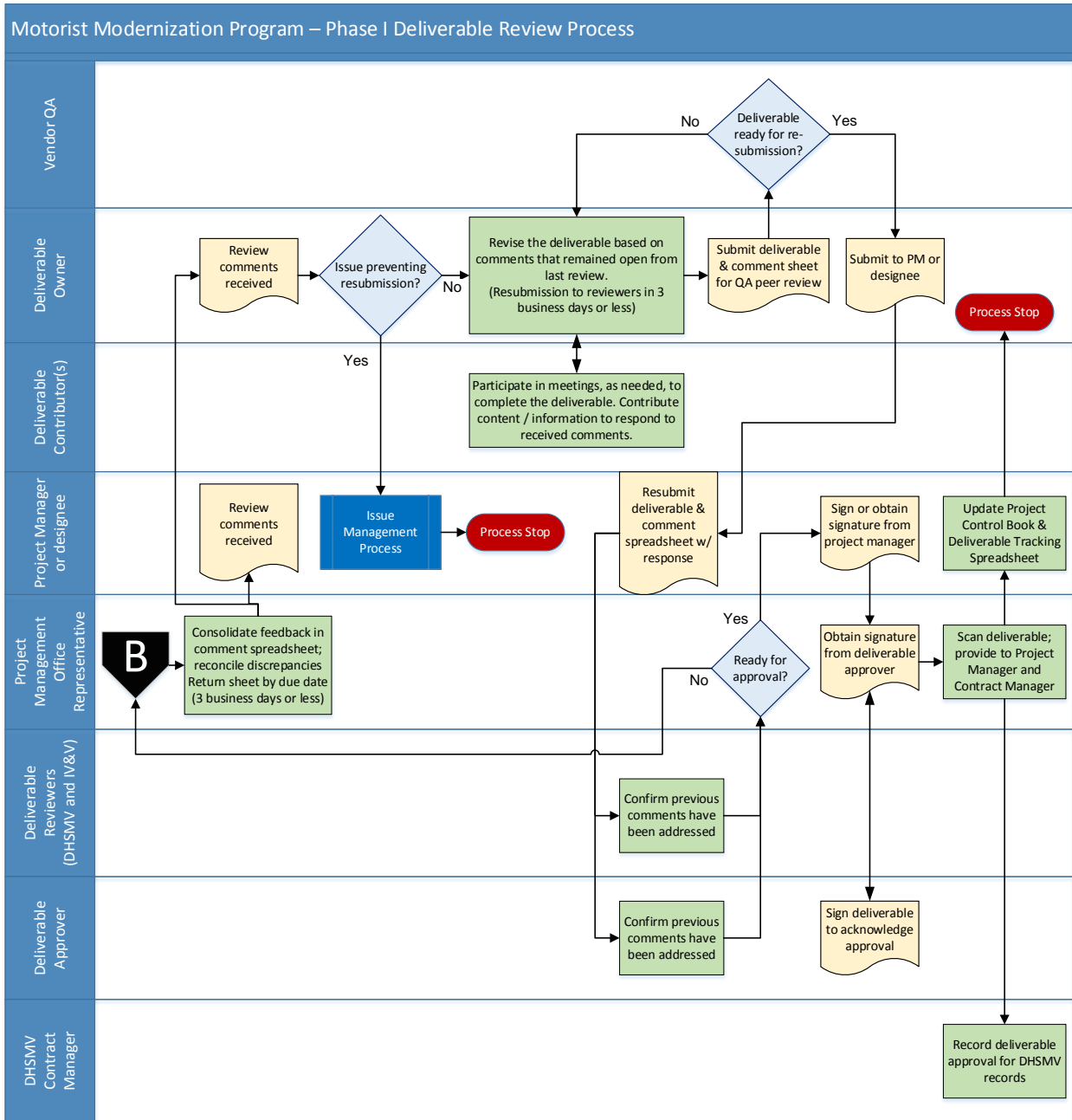


Figure 12-3 – Deliverable Review Process (3 of 3)

**12.5. Deliverable Quality Metrics**

Each project in the Motorist Modernization – Phase I Program will develop a quality management plan with pre-defined, quantitative and qualitative metrics to monitor the overall project quality. The metrics for Deliverable quality are outlined in Table 12-1– Deliverable Quality Metrics below. These metrics, along with those from the other areas, will be compiled and provided to the Program Manager and Program Director by the 10<sup>th</sup> of each month, or the next business day if the 10<sup>th</sup> is a non-working day.

Metric	Description	Target / Measurement
# of Late Submitted deliverables	Count of deliverables originally planned for 1st submission in the prior month but whose delivery date was delayed.	Green: 0 Yellow: 1 to 2 Red: 3 or more
Mean duration of Deliverable Review Period	Mean calculation of the number of business days from the first period of the review until the deliverable is approved.	Green: 12 or fewer Yellow: 13 to 18 Red: 19 or more
% of planned approved deliverables not yet approved	Percentage of deliverables, since project start, that were planned to be approved but have yet to be approved	Green: ≤ 10% Yellow: 10% < to ≤ 25% Red: 25% >

**Table 12-1 Deliverable Quality Metrics**

**12.6. Quality Assurance Assessments – Internal and External**

The Department has contracted with an Independent Verification and Validation (IV&V) vendor for the duration of the program to provide a baseline assessment of the overall quality of the program, monthly progress monitoring, quality checkpoints, recommended improvements, and validation of realized program objectives.

The Agency for State Technology (AST) will also be performing quarterly reports on the overall status of the Motorist Modernization – Phase I Program. The Program Manager will be responsible for providing the appropriate documents such as an updated IMS, spend plan, and any other requested documentation to support status updates which will be provided to legislative staff pursuant to the Rules of the Agency for State Technology Chapter 74-1 Project Management and Oversight<sup>5</sup>.

The Motorist Modernization – Phase I Program has also procured a software tool to assist in performing internal reviews for EVM, CPI, and probability of achieving key milestones. Monthly reporting to the Department’s Tier III Governance will include an assessment of the overall health of the program (red-yellow-green status) based on the following metrics for the reporting period:

Metric	Measurement	Target / Measurement	Reporting Period
Scope	Did the project experience a scope change that impacted the project's costs or schedule, or other projects/the	Green - No change in scope and scope is being managed Yellow - Scope change pending approval and impact one of the three Red - Scope change pending approval and impact at least two of	Weekly

<sup>5</sup> As of July 2016, the Rules of the Agency for State Technology Chapter 74-1 Project Management and Oversight are in DRAFT format.

Metric	Measurement	Target / Measurement	Reporting Period
	agency?	the three Cost, Schedule or other projects/agency	
Schedule	Are the Milestones and Deliverables on schedule?	<p><b>Green:</b> ≤ 5 business days</p> <p><b>Yellow:</b> 6 &lt; to ≤ 10 business days</p> <p><b>Red:</b> 10 &gt; business days</p>	Weekly
Budget (to date)	Is the project within budget for this reporting period? Budget/spend plan (30 day period) are completed as of the last day of the previous month.	<p><b>Green</b> - Variance is +/- 10%</p> <p><b>Yellow</b> - Variance is +/- 11%-20%</p> <p><b>Red</b> - Variance is +/- 21% or greater</p>	Monthly
Budget (Overall)	Is the project within budget overall? Budget/spend plan (total project budget) are completed as of the last day of the previous month.	<p><b>Green</b> - Variance is +/- 10%</p> <p><b>Yellow</b> - Variance is +/- 11%-20%</p> <p><b>Red</b> - Variance is +/- 21% or greater</p>	Monthly
Issue	Is the number and/or severity of issues increasing and/or is the issue over due for completion?	<p><b>Green</b> - No new issue was reported and/or the previously reported issue is being managed and on target for resolution by the completion date</p> <p><b>Yellow</b> - A new issue was reported and/or the previously reported issue is not being managed and/or not on target for resolution by the completion date</p> <p><b>Red</b> - Two or more new issues were reported and/or the previously reported issue is not being managed and/or on target for resolution by the completion date</p> <p>*Managed is defined as PM is providing actionable updates to the status report indicating that the issue is being worked</p>	Weekly
Risk	Is the number and/or severity of risks stable or decreasing?	<p><b>Green</b> - Risks are stable or decreased</p> <p><b>Yellow</b> - A new risks was added to the project</p> <p><b>Red</b> - Multiple risks were added and/or a previously reported risk increased in probability</p>	Weekly

Table 12-2 Tier III Program/Project Health Metrics

## **12.7. System Quality**

System Quality is used to evaluate whether the system development & configuration complies with the requirements and business processes identified in the planning phase of the project. System Quality Activities include requirements traceability, testing and defect management, and stage containment activities. System Quality activities undertaken by the Motorist Modernization – Phase I Program will be worked collaboratively with the Information Systems Administration’s Bureau of Quality Assurance.

### **12.7.1. Requirements Traceability**

Requirements Traceability is the ability to trace from business requirements to the various design, build, and test components throughout all phases of the Project. Requirements tracing is a practice that greatly increases the quality and reliability of a project’s final output while minimizing costly rework resulting from requirements errors. The Motorist Modernization – Phase I Program will use a Requirements Traceability Matrix (RTM) to confirm traceability across phases of the program.

Bidirectional traceability means that requirements can be traced both forwards and backwards, ideally through each step of the project. Bidirectional traceability helps determine that the solution addresses the source requirements and that all requirements and deliverables can be traced to a baselined RTM.

The business and technical requirements that are documented as part of the New System Requirements Tracking Report and Requirements Report deliverables shall be further refined and validated. Once the requirements are complete, they will be baselined. The baseline provides the inventory of confirmed requirements against which changes can be monitored and measured.

Beyond the baseline of these requirements, the following shall apply to support overall system quality:

1. Requirements altered or added as part of the requirements confirmation sessions will be recorded as part of the Program’s Change Management Plan as documented in the Program’s Project Management Plan.
2. During the design phases of the Project, the first portion of the requirements traceability will be initiated whereby the design that supports a particular requirement will be noted.
3. During the User Acceptance testing phases, the second portion of the requirements traceability task would commence. During this task, the test scenario used to validate a particular requirement would be noted.
4. The requirements, at the conclusion of testing, would be evaluated prior to deployment to ensure the business requirements have been addressed.

### **12.7.2. Testing and Defect Management**

Testing activities are one of the primary mechanisms for confirming system quality. Each project in the Motorist Modernization – Phase I Program will evaluate quality as it pertains to testing and defect management using the following metrics. Quality Assurance testing will be performed in accordance with the Information Systems Administration’s Bureau of Quality Assurance’s established standard.

- Defect Creation Count by Business Area and Defect Severity (System & Integration Testing, Performance Test, and User Acceptance Testing phases) – this quality metric will measure the number of defects that were created within distinct phases of the testing process categorized by Business Area (e.g., FDLIS, Citation Processing, Financial Responsibility), User Story as well as the defect severity (e.g., High, Medium Low)
- Defect Root Cause Disposition by Business Area and Defect Severity (System & Integration Testing, Performance Testing, and User Acceptance Testing Phases) - this quality metric will provide a count by business area and severity based on the disposition of a defect: Lack of Design Clarity, Development Issue, Conflicting Need
- Change Requests by Business Area (System & Integration Testing, Performance Testing, and User Acceptance Testing Phases) – this quality metric will provide the number of new requests that are escalated to the Change Management process
- Defect Resolution Aging Report (Open Date to User Turn Over Date) (User Acceptance Testing Phase only) – this quality metric will provide the median calculation as to duration of how long a defect takes to resolve and provide back to the user for validation
- Defect by Business Area Closure Report (Client Turn Over Date – Closure Date) (User Acceptance Testing Phase Only) – this quality metric will provide the median calculation, by business area, of how long it takes a business area to test and close defects that have been returned to them for validation

### **12.7.3. Stage Containment**

Stage containment is an essential part of system quality activities. Stage containment identifies problems before they pass to the next stage, which minimizes the number of problems passed to the next stage. Problems in this context could be business issues, product issues, configuration issues or technical issues. A key part in ensuring stage containment is defining exit and entry criteria across stages. By the nature of the Project’s implementation schedule, there is the potential of parallel system design and development work being completed within a particular sprint activity. As such, it is critical to have controlled transition to mitigate risk and control quality. The stage containment activities will, therefore, focus on readiness of a particular unit to progress from development and through the various stages of testing.



#### 12.7.4. System Quality Metrics

The system metrics outlined in Table 12-3 are the minimum metrics that shall be included in each project quality management plan. These metrics provide the Program Management Team with a quality measure of the overall system/solution.

Metric	Description	Target / Measurement
# of open change requests w/o decision	Total number of open, active change requests	<b>Green:</b> ≤ 5 <b>Yellow:</b> 5 < to ≤ 25 <b>Red:</b> 25 >
# of change requests approved within the last 3 months	Count of change requests that shall provide insight into the quality of the business / functional requirements.	<b>Green:</b> ≤ 3 <b>Yellow:</b> 3 < to ≤ 6 <b>Red:</b> 6 >
Change request aging	Mean calculation of the number of days between a change request being logged and a decision (to proceed or not)	<b>Green:</b> ≤ 10 <b>Yellow:</b> 10 < to ≤ 15 <b>Red:</b> 15 >
# of open critical system defects	Count of open defects	<b>Green:</b> ≤ 15 <b>Yellow:</b> 15 < to ≤ 25 <b>Red:</b> 25 >
Defect resolution time	Mean calculation of the time between defect opening and defect resolution deployed to the testing environment	<b>Green:</b> ≤ 2 days <b>Yellow:</b> 2 < to ≤ 10 <b>Red:</b> 10 >
% of re-opened defects	Percentage of defects that have been re-opened after initial testing (by testing phase)	<b>Green:</b> ≤ 10% <b>Yellow:</b> 10% < to ≤ 15% <b>Red:</b> 15 >
Total # of defects	Total number of defects by testing phase (e.g., unit testing, integration testing, user acceptance testing, etc.).	<To be evaluated as part of the Executing phase based on anticipated widget count>

**Table 12-3 System Metrics**

## 13. Communications Management

Effective communication is one of the most important factors contributing to the success of the Motorist Modernization – Phase I Program.

Three clear communication channels will be established during the program organization and include:

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

The communications plan describes how program communication events will occur across the channels described above. The events themselves may be periodic or one-time in nature.

The Program Director will meet weekly with the OMM Leadership Team. Monthly meetings will be held with the Advisory Board and the Executive Steering Committee (ESC). Any decisions made by the ESC or recommendations made by the Advisory Board will be documented and included in the program artifacts. For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 6.7.

Additionally, the Program's Communication Consultant will be responsible for communications conducted as a part of Organizational Change Management (referenced in Section 15).

The following tables (Table 13-1 and Table 13-2) detail the program communications and meetings used to manage the program.

PROGRAM COMMUNICATIONS				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Project Control Book (PCB) (includes risks, issues, action items, change control forms, etc.)	Team, PMO	PPM tool, SharePoint	Weekly	Program Manager / Assigned PM
Project Schedule	Project Team and Sponsors	PPM tool, SharePoint		Assigned PM
Project Management Plan document	Project Team and Sponsors	PPM tool, PCB, SharePoint	Within 30 days of approval	Assigned PM
Program Management Plan document	Program Team and Sponsors	PPM tool, PCB, SharePoint	Within 30 days of approval	Program Manager
Status Reports includes action items	Program Team and	PPM tool, SharePoint	Weekly	Program Manager / Assigned PM

<b>PROGRAM COMMUNICATIONS</b>				
<b>Description</b>	<b>Target Audience</b>	<b>Delivery Method</b>	<b>Delivery Frequency</b>	<b>Owner</b>
	Sponsors			
Integrated Master Schedule (IMS)	Program Team and Sponsors	PPM tool, PCB, SharePoint	Weekly	Program Manager
OMM Leadership Team Status Report	Executive Leadership	Presentation/ Discussion	Weekly	Program Director Deputy Program Director
Support Services Vendor Deliverables	Program Team and Sponsors	PCB, SharePoint	Per Contractual Agreement	Contract and Budget Consultant
Periodic Demos and Presentations	Focus on specific groups	Presentation/ Discussion	As needed	Project Managers Program Manager Deputy Program Director Program Director

**Table 13-1 Program Communications**

<b>MEETINGS</b>				
<b>Description</b>	<b>Target Audience</b>	<b>Delivery Method</b>	<b>Delivery Frequency</b>	<b>Owner</b>
Program Team Meeting	Program Team	Meeting	Weekly	Program Manager
Executive Steering Committee (ESC) Meeting	Executive Leadership	Meeting	Monthly	Program Director Deputy Program Director
Advisory Board Meeting	Program Advisory Board	Meeting	Monthly	Program Director Deputy Program Director
Change Control Board Meeting	Product Owners, Program Team	Meeting	Bi-Monthly	Deputy Program Director Program Manager
OMM Weekly Leadership	OMM Leadership Team	Meeting	Weekly	Program Director Deputy Program Director

MEETINGS				
Program Sponsor Meeting	Motorist Services Director	Meeting	Weekly	Program Director
CIO Update Meeting	CIO	Meeting	Weekly	Program Director
Executive Sponsor Update Meeting	Executive Sponsor	Meeting	As Requested	Program Director
Program Team Meeting	Entire program team. Individual meetings for sub-teams, technical team, and functional teams as appropriate	Meeting	Monthly	Program Director
Focus Group / Coalition Meetings	All Stakeholders	Meeting	As Needed	Communications Consultant

**Table 13-2 Program Meetings**

### 13.1. Program Documentation

- All program artifacts shall be located in the PCB.
- All final program deliverables shall be located in the PPM tool.

### 13.2. Status Reporting

The Program Manager is responsible for working with each Project Manager and appropriate team members for all status reporting requirements. As development begins on the program, each Project Manager will be responsible for collecting performance metrics from Team Foundation Server (TFS) to demonstrate progress. This includes statistics on the number and status of user stories and test cases in each sprint. The table below details the different status reports used in the overall management of the Program. While AST status reports are not prepared by DHSMV, supplemental Program documentation may be required as a result of quarterly assessments.

Report	Frequency	Assigned to
OMM Leadership Report	Weekly	Program Director Deputy Program Director Program Management Team
Legislative Status Report	Monthly	Program Manager / Vendor Project Manager / DHSMV Project Managers
PMO Status Report	Weekly	Program Manager / Vendor Project

Report	Frequency	Assigned to
(Daptiv)	<i>Due Thursdays by 3:00pm</i>	Manager / DHSMV Project Managers
Milestone Release Reports (performance metrics from TFS)	Monthly	Scrum Masters / Vendor Project Manager
DHSMV Governance Tier III Status Report	Monthly	Program Manager
AST Reports	Monthly and Quarterly	AST Project Manager with assistance from the Program Manager

### **13.3. Updates to the Communications Plan**

The Communications Plan will be updated and distributed via e-mail whenever there is a change to the Plan.

## 14. Document Management

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The Document Management section provides the standards for managing all Motorist Modernization – Phase I Program documents.

### **14.1. Program Repository**

#### Project Control Book

The Program Manager has established a Project Control Book for the Motorist Modernization – Phase I Program on the network drive. The Project Control Book contains artifacts specific to the project management aspects of the project as well as memorandums and meeting minutes. The Program Manager or their designee shall be responsible for publishing artifacts to this repository.

Please note there are a series of templates that have also been posted in the Project Control Book.

#### Document Management Guidelines

The following Document Management Guidelines are in place to support the program:

- Version history is tracked for all documents within the PCB
- Document feedback and approvals are logged in the PCB
- Drafts and Final Submission Deliverables are clearly distinguished
- Approved Documents are stored in a separate folder in the PCB
- Document control information is captured for all official deliverables

### **14.2. Document Naming Conventions**

#### Deliverable Expectation Document (DED)

The Deliverable Expectation Document (DED) naming standard (one DED for every deliverable) is as follows:

***DED Del # - <Deliverable Name> v #.***

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

#### Deliverables

The Deliverable naming standard is as follows:

***Del # - <Deliverable Name> v #.***

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

### Deliverable Consolidated Comments

The Deliverable Consolidated Comments naming standard is as follows:

***Del # - <Deliverable Name>Consolidated Comments v #.***

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

### Project-Specific Artifacts

Each project within the Motorist Modernization – Phase I Program will establish a PCB to store project-specific artifacts. Upon approval by the Senior Business Analyst or their designee, finalized work products (e.g., AS-IS process flows, business rules, requirements) may be migrated to the central requirements repository, Blueprint. For access to Blueprint, please contact the respective Project Manager.

## 15. Organizational Change Management

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The goal of change is to improve the organization by altering what and/or how work is done. The re-engineering of the Motorist Services technology environment will affect business processes, skill sets, roles, and responsibilities. Change management activities are integral to the success of the program.

Organizational change management (OCM) activities are facilitated by the program's Communications Consultant. OCM outlines the activities necessary to ensure staff participation in process development and improvement, skill set changes, and technology acceptance. Examples of these activities are the communication of program goals and benefits, documentation and communication of solution vendor/Department roles/responsibilities, development and communication of new process maps/roles, development and communication of a skills gap analysis, and the development and communication of a training plan.

Organizational change management (OCM) planning documents have been developed by the Department. These include the following artifacts:

- **Communications Strategy and Plan:** Helps to manage expectations about the Motorist Modernization Phase I program and provides consistent messages among program team members, eventual end-user of the solution and other impacted stakeholders. Included as a component of this document is a tactical Communication Plan that charts out recurring and one-time communication events. This living document is updated on a quarterly basis.
- **Organizational Analysis:** Details key aspects of the various end-user groups (internal and external, as applicable) for consideration into the to-be business processes and technology. It is intended to provide a gap-analysis of the end-user groups' current and future work environments, tasks and activities, and knowledge, skills and abilities.
- **Training and Performance Support Strategy:** Details the overarching training needs and objectives for the project, per the Organizational Analysis. It also describes the various training methods (ex: Instructor-led, Web-based, Videos, Online Tip-sheets) that will be used; lays out a general training curriculum per user group; and describes any point-of-deployment and/or ongoing performance support mechanisms that will be used, such as help desks / user support sites.

The Communications Consultant will facilitate completion of periodic OCM readiness assessments throughout the Motorist Modernization – Phase I Program to measure progress of closing gaps identified in the Organizational Analysis.

Please refer to the program's PCB for additional information on OCM.



## 16. Configuration Management

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ISA will be responsible for documenting any configuration changes made to the systems that are required for the Motorist Modernization – Phase I Program. Version control is the responsibility of the ISA software managers for systems in which they are responsible. Please refer to the *DHSMV Information Systems Development Methodology* for additional information on configuration management.

## 17. Vendor Management

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The scope of the Motorist Modernization – Phase I Program precipitates the need for a vendor management plan that outlines the activities necessary to ensure the quality, timeliness, and value of products and services procured by the Department. The Program Manager will work with the program team to identify program needs to be procured and work with the Program Director, Deputy Program Director and Contract and Budget Consultant to document and communicate Vendor/Department roles and responsibilities, which may include but not be limited to:

- Vendor staffing plan
- Vendor project plan
- Vendor risk management plan
- Performance metrics
- Change management request process
- Deliverables review and acceptance process
- Knowledge transfer and product support

Vendor management has been defined in the request for quote and scope of services documents developed as part of the procurement process for both Support Services and IV&V. All contract documents contain specific terms and conditions as well as corresponding monetary damages for lack of performance.

## 18. Common Acronyms & Terms

Acronym	Description
<b>AAMVA</b>	American Association of Motor Vehicle Administrators
<b>AST</b>	Agency for State Technology
<b>CDLIS</b>	Commercial Driver License Information System
<b>CR</b>	Change Request
<b>DL</b>	Driver Licenses
<b>DRIVE</b>	Driver Related Issuance and Vehicle Enhancements
<b>ECM</b>	Enterprise Content Management
<b>EFS</b>	Electronic Filing System
<b>ETR</b>	Electronic Temporary Registration
<b>FDLIS</b>	Florida Driver License Information System
<b>FRVIS</b>	Florida Registration & Vehicle Information System
<b>ISA</b>	Information Systems Administration
<b>MS</b>	Division of Motorist Services
<b>NSRC</b>	Northwood Shared Resource Center
<b>OMM</b>	Office of Motorist Modernization
<b>PCB</b>	Project Control Book
<b>PDC</b>	Primary Data Center
<b>PM</b>	Project Manager
<b>PMO</b>	Project Management Office
<b>PPM</b>	Project Portfolio Management
<b>SPS</b>	Stored Procedure Services (ISA Development Section)
<b>WAR</b>	Warehouse and Reporting Services (ISA Development Section)
<b>WBS</b>	Work Breakdown Structure

## **IX. Appendix C: Project Schedule**

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
0	0	69%		<b>MM Phase I MASTER Program Schedule</b>	<b>1462 days</b>	<b>Fri 11/1/13</b>	<b>Thu 8/29/19</b>	<b>Late</b>		
1	1	46%		<b>Project Management</b>	<b>1462 days</b>	<b>Fri 11/1/13</b>	<b>Thu 8/29/19</b>	<b>On Schedule</b>		
123	1.3	35%		<b>Project Monitoring and Controlling</b>	<b>1422 days</b>	<b>Mon 11/25/13</b>	<b>Fri 7/26/19</b>	<b>On Schedule</b>		
127	1.3.4	20%		Program Monthly Status Reports - FY16-17	253 days	Mon 7/11/16	Tue 7/11/17	On Schedule	126 128	
128	1.3.5	0%		Program Monthly Status Reports - FY17-18	251 days	Wed 7/12/17	Tue 7/10/18	Future Task	127 129	
129	1.3.6	0%		Program Monthly Status Reports - FY18-19	251 days	Wed 7/11/18	Tue 7/9/19	Future Task	128 927	
130	1.3.7	45%	CR07	<b>Quarterly Communication Plan Updates</b>	<b>761 days</b>	<b>Mon 2/1/16</b>	<b>Wed 2/6/19</b>	<b>On Schedule</b>		
134	1.3.7.4	0%	CR07	Update Communication Plan Quarterly	3 days	Tue 11/1/16	Thu 11/3/16	Future Task	133SF+68 days	135SF+64 days
135	1.3.7.5	0%	CR07	Update Communication Plan Quarterly	3 days	Thu 2/2/17	Mon 2/6/17	Future Task	134SF+64 days	136SF+66 days
136	1.3.7.6	0%	CR07	Update Communication Plan Quarterly	3 days	Tue 5/2/17	Thu 5/4/17	Future Task	135SF+66 days	137SF+67 days
137	1.3.7.7	0%	CR07	Update Communication Plan Quarterly	3 days	Wed 8/2/17	Fri 8/4/17	Future Task	136SF+67 days	138SF+68 days
138	1.3.7.8	0%	CR07	Update Communication Plan Quarterly	3 days	Thu 11/2/17	Mon 11/6/17	Future Task	137SF+68 days	139SF+63 days
139	1.3.7.9	0%	CR07	Update Communication Plan Quarterly	3 days	Fri 2/2/18	Tue 2/6/18	Future Task	138SF+63 days	140SF+66 days
140	1.3.7.10	0%	CR07	Update Communication Plan Quarterly	3 days	Wed 5/2/18	Fri 5/4/18	Future Task	139SF+66 days	141SF+67 days
141	1.3.7.11	0%	CR07	Update Communication Plan Quarterly	3 days	Thu 8/2/18	Mon 8/6/18	Future Task	140SF+67 days	142SF+68 days
142	1.3.7.12	0%	CR07	Update Communication Plan Quarterly	3 days	Fri 11/2/18	Tue 11/6/18	Future Task	141SF+68 days	143SF+63 days
143	1.3.7.13	0%	CR07	Update Communication Plan Quarterly	3 days	Mon 2/4/19	Wed 2/6/19	Future Task	142SF+63 days	
144	1.3.8	34%		<b>Deliverable 4 - SSP &amp; DLIP Monthly Governance Status Reports</b>	<b>1106 days</b>	<b>Wed 2/25/15</b>	<b>Mon 7/22/19</b>	<b>On Schedule</b>		
564	1.3.9	2%	CR28	<b>Deliverable 52 - MM Milestone Release Reports</b>	<b>748 days</b>	<b>Mon 8/8/16</b>	<b>Fri 7/26/19</b>	<b>On Schedule</b>		
565	1.3.9.1	75%	CR28	<b>MM Milestone Release Report - July 2016</b>	<b>16 days</b>	<b>Mon 8/8/16</b>	<b>Mon 8/29/16</b>	<b>On Schedule</b>		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
570	1.3.9.1.5	0%	CR28	Review Deliverable 52 - Cycle 2	4 days	Wed 8/24/16	Mon 8/29/16	Future Task	569	571
571	1.3.9.1.6	0%	CR28	Accept Deliverable 52	0 days	Mon 8/29/16	Mon 8/29/16	Future Task	570	572,574FS+5 da
572	1.3.9.1.7	0%	CR28	Deliverable 52 - MM Milestone Release Reports 1	0 days	Mon 8/29/16	Mon 8/29/16	Future Task	571	
573	1.3.9.2	0%	CR28	MM Milestone Release Report - August 2016	14 days	Wed 9/7/16	Mon 9/26/16	Future Task		
581	1.3.9.3	0%	CR28	MM Milestone Release Report - September 2016	14 days	Thu 10/6/16	Tue 10/25/16	Future Task		
589	1.3.9.4	0%	CR28	MM Milestone Release Report - October 2016	14 days	Tue 11/8/16	Wed 11/30/16	Future Task		
597	1.3.9.5	0%	CR28	MM Milestone Release Report - November 2016	14 days	Wed 12/7/16	Tue 12/27/16	Future Task		
605	1.3.9.6	0%	CR28	MM Milestone Release Report - December 2016	14 days	Mon 1/9/17	Fri 1/27/17	Future Task		
613	1.3.9.7	0%	CR28	MM Milestone Release Report - January 2017	14 days	Thu 2/9/17	Tue 2/28/17	Future Task		
621	1.3.9.8	0%	CR28	MM Milestone Release Report - February 2017	14 days	Thu 3/9/17	Tue 3/28/17	Future Task		
629	1.3.9.9	0%	CR28	MM Milestone Release Report - March 2017	14 days	Fri 4/7/17	Wed 4/26/17	Future Task		
637	1.3.9.10	0%	CR28	MM Milestone Release Report - April 2017	14 days	Tue 5/9/17	Fri 5/26/17	Future Task		
645	1.3.9.11	0%	CR28	MM Milestone Release Report - May 2017	14 days	Thu 6/8/17	Tue 6/27/17	Future Task		
653	1.3.9.12	0%	CR28	MM Milestone Release Report - June 2017	14 days	Fri 7/7/17	Wed 7/26/17	Future Task		
661	1.3.9.13	0%	CR28	MM Milestone Release Report - July 2017	14 days	Wed 8/9/17	Mon 8/28/17	Future Task		
669	1.3.9.14	0%	CR28	MM Milestone Release Report - August 2017	14 days	Thu 9/7/17	Tue 9/26/17	Future Task		
677	1.3.9.15	0%	CR28	MM Milestone Release Report - September 2017	14 days	Mon 10/9/17	Thu 10/26/17	Future Task		
685	1.3.9.16	0%	CR28	MM Milestone Release Report - October 2017	14 days	Wed 11/8/17	Thu 11/30/17	Future Task		
693	1.3.9.17	0%	CR28	MM Milestone Release Report - November 2017	14 days	Thu 12/7/17	Wed 12/27/17	Future Task		
701	1.3.9.18	0%	CR28	MM Milestone Release Report - December 2017	14 days	Tue 1/9/18	Mon 1/29/18	Future Task		
709	1.3.9.19	0%	CR28	MM Milestone Release Report - January 2018	14 days	Thu 2/8/18	Tue 2/27/18	Future Task		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
717	1.3.9.20	0%	CR28	MM Milestone Release Report - February 2018	14 days	Thu 3/8/18	Tue 3/27/18	Future Task		
725	1.3.9.21	0%	CR28	MM Milestone Release Report - March 2018	14 days	Mon 4/9/18	Thu 4/26/18	Future Task		
733	1.3.9.22	0%	CR28	MM Milestone Release Report - April 2018	14 days	Wed 5/9/18	Tue 5/29/18	Future Task		
741	1.3.9.23	0%	CR28	MM Milestone Release Report - May 2018	14 days	Thu 6/7/18	Tue 6/26/18	Future Task		
749	1.3.9.24	0%	CR28	MM Milestone Release Report - June 2018	14 days	Mon 7/9/18	Thu 7/26/18	Future Task		
757	1.3.9.25	0%	CR28	MM Milestone Release Report - July 2018	14 days	Thu 8/9/18	Tue 8/28/18	Future Task		
765	1.3.9.26	0%	CR28	MM Milestone Release Report - August 2018	14 days	Fri 9/7/18	Wed 9/26/18	Future Task		
773	1.3.9.27	0%	CR28	MM Milestone Release Report - September 2018	14 days	Tue 10/9/18	Fri 10/26/18	Future Task		
781	1.3.9.28	0%	CR28	MM Milestone Release Report - October 2018	14 days	Thu 11/8/18	Fri 11/30/18	Future Task		
789	1.3.9.29	0%	CR28	MM Milestone Release Report - November 2018	14 days	Fri 12/7/18	Thu 12/27/18	Future Task		
797	1.3.9.30	0%	CR28	MM Milestone Release Report - December 2018	14 days	Wed 1/9/19	Tue 1/29/19	Future Task		
805	1.3.9.31	0%	CR28	MM Milestone Release Report - January 2019	14 days	Thu 2/7/19	Tue 2/26/19	Future Task		
813	1.3.9.32	0%	CR28	MM Milestone Release Report - February 2019	14 days	Thu 3/7/19	Tue 3/26/19	Future Task		
821	1.3.9.33	0%	CR28	MM Milestone Release Report - March 2019	14 days	Tue 4/9/19	Fri 4/26/19	Future Task		
829	1.3.9.34	0%	CR28	MM Milestone Release Report - April 2019	14 days	Thu 5/9/19	Wed 5/29/19	Future Task		
837	1.3.9.35	0%	CR28	MM Milestone Release Report - May 2019	14 days	Fri 6/7/19	Wed 6/26/19	Future Task		
845	1.3.9.36	0%	CR28	MM Milestone Release Report - June 2019	14 days	Tue 7/9/19	Fri 7/26/19	Future Task		
872	1.3.11	0%	CR28	Deliverable 47 - Lessons Learned Report	660 days	Wed 11/9/16	Tue 6/25/19	Future Task		
927	1.3.12	0%		Project Monitoring and Control Phase COMPLETE	0 days	Tue 7/9/19	Tue 7/9/19	Future Task	871,129,862	
928	1.4	0%		Project Closeout	31 days	Thu 7/18/19	Thu 8/29/19	Future Task		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
953	5	38%		<b>IV&amp;V Deliverable #5 - Monthly Assessment Reports (Ernst &amp; Young)</b>	1095 days	Thu 3/5/15	Mon 7/15/19	On Schedule		
2456	8	42%		<b>Design, Develop, Implement</b>	1455 days	Tue 11/12/13	Thu 8/29/19	Late		
2457	8.1	58%		<b>Database Redesign</b>	1155 days	Tue 11/12/13	Thu 6/21/18	Late		
2488	8.1.10	50%		<b>Purchase Software</b>	590 days	Wed 7/1/15	Tue 11/7/17	On Schedule		
2490	8.1.10.2	0%		Data Quality/Cleansing Tool(s)	90 days	Mon 7/3/17	Tue 11/7/17	Future Task		5
2552	8.1.14	20%		<b>Synchronization Process Implementation</b>	602 days	Thu 2/4/16	Thu 6/21/18	Late		3303FS-9 days
2558	8.1.14.6	70%		Configure Synchronization Processes - DEV/Test Customer	90 days	Mon 3/7/16	Tue 7/12/16	Late	2516FS+66 !554,2555,2557	2559,2560
2559	8.1.14.7	0%		Validate Synchronization Processes - DEV/Test Customer	50 days	Wed 7/13/16	Wed 9/21/16	Late	!434,2443,3267	
2560	8.1.14.8	40%		Configure Synchronization Processes - DEV/Test Credential	130 days	Wed 7/13/16	Thu 1/19/17	On Schedule		2558 2561,2562
2561	8.1.14.9	0%		Validate Synchronization Processes - DEV/Test Credential	50 days	Fri 1/20/17	Thu 3/30/17	Future Task	!434,2443,3267	
2562	8.1.14.10	0%		Configure Synchronization Processes - DEV/Test Sanction	130 days	Fri 1/20/17	Mon 7/24/17	Future Task		2560 2563
2563	8.1.14.11	0%		Validate Synchronization Processes - DEV/Test Sanction	50 days	Tue 7/25/17	Tue 10/3/17	Future Task	!434,2443,3267	2564
2564	8.1.14.12	0%		Configure Production Synchronization Processes	130 days	Wed 10/4/17	Wed 4/11/18	Future Task		2563 2565
2565	8.1.14.13	0%		Validate Production Synchronization Processes	50 days	Thu 4/12/18	Thu 6/21/18	Future Task		2564 2590



Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
2566	8.1.14.14	0%	CR28	Deliverable 49 - Updated Synchronization Process Design	66 days	Wed 9/14/16	Mon 12/19/16	Future Task		
2574	8.1.14.15	2%	CR28	Deliverable 50 - Updated Modernization Development/Test Database Model Design Documents	46 days	Thu 8/18/16	Fri 10/21/16	Late		
2575	8.1.14.15.1	50%	CR28	Construct Deliverable 50 - Updated Modernization Development/Test Database Model Design Documents DED	1 day	Thu 8/18/16	Thu 8/18/16	Late	2576SS-20 days	
2576	8.1.14.15.2	0%	CR28	Construct Deliverable 50 - Updated Modernization Development/Test Database Model Design Documents	15 days	Fri 9/16/16	Thu 10/6/16	Future Task	2435FS+132 2575SS-20 days days,2577	
2577	8.1.14.15.3	0%	CR28	Submit Deliverable 50	1 day	Fri 10/7/16	Fri 10/7/16	Future Task	2576 2578	
2578	8.1.14.15.4	0%	CR28	Review Deliverable 50 - Cycle 1	5 days	Mon 10/10/16	Fri 10/14/16	Future Task	2577 2579	
2579	8.1.14.15.5	0%	CR28	Update Deliverable 50 - Cycle 1 (if needed)	3 days	Mon 10/17/16	Wed 10/19/16	Future Task	2578 2580	
2580	8.1.14.15.6	0%	CR28	Accept Deliverable 50	1 day	Thu 10/20/16	Thu 10/20/16	Future Task	2579 2581	
2581	8.1.14.15.7	0%	CR28	Deliverable #50 - Updated Modernization Development/Test Database Model Design Documents	1 day	Fri 10/21/16	Fri 10/21/16	Future Task	2580	
2582	8.1.14.16	0%	CR28	Deliverable 51 - Updated Migration Plan	51.5 days	Thu 12/8/16	Wed 2/22/17	Future Task		
2590	8.2	0%		Database Redesign / Synchronization COMPLETE	0 days	Thu 6/21/18	Thu 6/21/18	Future Task	2565 3435,2594	
2591	8.3	0%	CR07	Internal OCM Readiness Assessment 1	5 days	Fri 9/30/16	Thu 10/6/16	Future Task		
2594	8.4	0%		PHASE GATE REVIEW - Database Redesign / Synchronization	0 days	Thu 6/21/18	Thu 6/21/18	Future Task	2590 3435	
2595	8.5	41%		Development	878 days	Mon 8/17/15	Tue 2/19/19	On Schedule		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
2725	8.5.4	5%		<b>System Specifications and Technical Architecture</b>	672 days	Fri 6/17/16	Tue 2/19/19	On Schedule		
2726	8.5.4.1	9%		<b>Deliverable 53 - As-Built Solution Overview Report - Quarterly Updates</b>	672 days	Fri 6/17/16	Tue 2/19/19	On Schedule		
2805	8.5.4.2	0%	CR28	<b>Deliverable 48 - Updated System Specifications Document</b>	78 days	Fri 6/30/17	Thu 10/19/17	Future Task		
2813	8.5.4.3	0%	CR28	<b>Deliverable 54 - Intial Technical Architecture Documents</b>	71 days	Thu 1/12/17	Fri 4/21/17	Future Task		
2821	8.5.4.4	0%	CR28	<b>Deliverable 55 - Updated Technical Architecture Documents</b>	71 days	Thu 1/11/18	Fri 4/20/18	Future Task		
2829	8.5.5	5%	CR28	<b>Team A - Renewal Notification</b>	384 days	Wed 7/27/16	Tue 2/6/18	On Schedule		3089
2830	8.5.5.1	15%	CR28	<b>MILESTONE GROUP A</b>	128 days	Wed 7/27/16	Tue 1/31/17	On Schedule		3270FS+32 days
2832	8.5.5.1.2	60%	CR28	Sprint 2	15 days	Wed 8/10/16	Tue 8/30/16	On Schedule	2831	2833
2833	8.5.5.1.3	0%	CR28	Sprint 3	14 days	Wed 8/31/16	Tue 9/20/16	Future Task	2832	2834
2834	8.5.5.1.4	0%	CR28	Sprint 4	15 days	Wed 9/21/16	Tue 10/11/16	Future Task	2833	2835
2835	8.5.5.1.5	0%	CR28	Sprint 5	15 days	Wed 10/12/16	Tue 11/1/16	Future Task	2834	2836
2836	8.5.5.1.6	0%	CR28	Sprint 6	15 days	Wed 11/2/16	Wed 11/23/16	Future Task	2835	2837FS+2 days
2837	8.5.5.1.7	0%	CR28	Sprint 7	15 days	Wed 11/30/16	Tue 12/20/16	Future Task	2836FS+2 days	2838
2838	8.5.5.1.8	0%	CR28	Sprint 8	13 days	Wed 12/21/16	Tue 1/10/17	Future Task	2837	2839
2839	8.5.5.1.9	0%	CR28	RN HIP Sprint - Milestone Group A	13 days	Wed 1/11/17	Mon 1/30/17	Future Task	2838	2840
2840	8.5.5.1.10	0%	CR28	RN Milestone Retrospective - Milestone A	1 day	Tue 1/31/17	Tue 1/31/17	Future Task	2839	2842
2841	8.5.5.2	0%	CR28	<b>MILESTONE GROUP B</b>	55 days	Wed 2/1/17	Tue 4/18/17	Future Task		
2847	8.5.5.3	0%	CR28	<b>MILESTONE GROUP C</b>	20 days	Wed 4/19/17	Tue 5/16/17	Future Task		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
2852	8.5.5.4	0%	CR28	MILESTONE GROUP D	73 days	Wed 5/17/17	Tue 8/29/17	Future Task		3272FS+1 day
2859	8.5.5.5	0%	CR28	MILESTONE GROUP E	76 days	Wed 8/30/17	Tue 12/19/17	Future Task		
2866	8.5.5.6	0%	CR28	MILESTONE GROUP F	32 days	Wed 12/20/17	Tue 2/6/18	Future Task		
2871	8.5.6	4%	CR28	Team B - DL Issuance	527 days	Thu 7/21/16	Wed 8/22/18	On Schedule		3089
2872	8.5.6.1	30%	CR28	MILESTONE GROUP A	74 days	Thu 7/21/16	Wed 11/2/16	On Schedule		
2874	8.5.6.1.2	50%	CR28	Sprint 2	15 days	Thu 8/11/16	Wed 8/31/16	On Schedule	2873 2875	
2875	8.5.6.1.3	0%	CR28	Sprint 3	14 days	Thu 9/1/16	Wed 9/21/16	Future Task	2874 2876	
2876	8.5.6.1.4	0%	CR28	Sprint 4	15 days	Thu 9/22/16	Wed 10/12/16	Future Task	2875 2877	
2877	8.5.6.1.5	0%	CR28	DL HIP Sprint - Milestone Group A	14 days	Thu 10/13/16	Tue 11/1/16	Future Task	2876 2878	
2878	8.5.6.1.6	0%	CR28	DL Milestone Retrospective - Milestone A	1 day	Wed 11/2/16	Wed 11/2/16	Future Task	2877 2880	
2879	8.5.6.2	0%	CR28	MILESTONE GROUP B	74 days	Thu 11/3/16	Wed 2/22/17	Future Task		
2886	8.5.6.3	0%	CR28	MILESTONE GROUP C	55 days	Thu 2/23/17	Wed 5/10/17	Future Task		
2892	8.5.6.4	0%	CR28	MILESTONE GROUP D	53 days	Thu 5/11/17	Wed 7/26/17	Future Task		3282FS+2 days,
2898	8.5.6.5	0%	CR28	MILESTONE GROUP E	59 days	Thu 7/27/17	Wed 10/18/17	Future Task		
2904	8.5.6.6	0%	CR28	MILESTONE GROUP F	59 days	Thu 10/19/17	Wed 1/17/18	Future Task		
2910	8.5.6.7	0%	CR28	MILESTONE GROUP G	55 days	Thu 1/18/18	Wed 4/4/18	Future Task		
2916	8.5.6.8	0%	CR28	MILESTONE GROUP H	39 days	Thu 4/5/18	Wed 5/30/18	Future Task		
2921	8.5.6.9	0%	CR28	MILESTONE GROUP I	20 days	Thu 5/31/18	Wed 6/27/18	Future Task		
2925	8.5.6.10	0%	CR28	MILESTONE GROUP J	39 days	Thu 6/28/18	Wed 8/22/18	Future Task		
2930	8.5.7	4%	CR28	Team C - CDLIS & Citation Processing	478 days	Wed 7/27/16	Tue 6/19/18	On Schedule		3089
2931	8.5.7.1	17%	CR28	MILESTONE GROUP A	114 days	Wed 7/27/16	Tue 1/10/17	On Schedule		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
2933	8.5.7.1.2	60%	CR28	Sprint 2	15 days	Wed 8/10/16	Tue 8/30/16	On Schedule	2932	2934
2934	8.5.7.1.3	0%	CR28	Sprint 3	14 days	Wed 8/31/16	Tue 9/20/16	Future Task	2933	2935
2935	8.5.7.1.4	0%	CR28	Sprint 4	15 days	Wed 9/21/16	Tue 10/11/16	Future Task	2934	2936
2936	8.5.7.1.5	0%	CR28	Sprint 5	15 days	Wed 10/12/16	Tue 11/1/16	Future Task	2935	2937
2937	8.5.7.1.6	0%	CR28	Sprint 6	14 days	Wed 11/2/16	Tue 11/22/16	Future Task	2936	2938
2938	8.5.7.1.7	0%	CR28	Sprint 7	13 days	Wed 11/23/16	Tue 12/13/16	Future Task	2937	2939
2939	8.5.7.1.8	0%	CR28	CP HIP Sprint - Milestone Group A	17 days	Wed 12/14/16	Mon 1/9/17	Future Task	2938	2940
2940	8.5.7.1.9	0%	CR28	CP Milestone Retrospective - Milestone A	1 day	Tue 1/10/17	Tue 1/10/17	Future Task	2939	2942
2941	8.5.7.2	0%	CR28	MILESTONE GROUP B	84 days	Wed 1/11/17	Tue 5/9/17	Future Task		
2949	8.5.7.3	0%	CR28	MILESTONE GROUP C	87 days	Wed 5/10/17	Tue 9/12/17	Future Task		3287FS+3 days
2957	8.5.7.4	0%	CR28	MILESTONE GROUP D	114 days	Wed 9/13/17	Tue 2/27/18	Future Task		
2967	8.5.7.5	0%	CR28	MILESTONE GROUP E	79 days	Wed 2/28/18	Tue 6/19/18	Future Task		
2974	8.5.8	4%	CR28	Team D - MyDMV Portal	512 days	Wed 7/27/16	Tue 8/7/18	On Schedule		3089,3295FS-7
2975	8.5.8.1	23%	CR28	MILESTONE GROUP A	83 days	Wed 7/27/16	Tue 11/22/16	On Schedule		
2977	8.5.8.1.2	60%	CR28	Sprint 2	15 days	Wed 8/10/16	Tue 8/30/16	On Schedule	2976	2978
2978	8.5.8.1.3	0%	CR28	Sprint 3	14 days	Wed 8/31/16	Tue 9/20/16	Future Task	2977	2979
2979	8.5.8.1.4	0%	CR28	Sprint 4	15 days	Wed 9/21/16	Tue 10/11/16	Future Task	2978	2980
2980	8.5.8.1.5	0%	CR28	Sprint 5	15 days	Wed 10/12/16	Tue 11/1/16	Future Task	2979	2981
2981	8.5.8.1.6	0%	CR28	MyDMV HIP Sprint - Milestone Group A	13 days	Wed 11/2/16	Mon 11/21/16	Future Task	2980	2982
2982	8.5.8.1.7	0%	CR28	MyDMV Milestone Retrospective - Milestone Group A	1 day	Tue 11/22/16	Tue 11/22/16	Future Task	2981	2984

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
2983	8.5.8.2	0%	CR28	MILESTONE GROUP B	31 days	Wed 11/23/16	Tue 1/10/17	Future Task		
2988	8.5.8.3	0%	CR28	MILESTONE GROUP C	59 days	Wed 1/11/17	Tue 4/4/17	Future Task		
2994	8.5.8.4	0%	CR28	MILESTONE GROUP D	103 days	Wed 4/5/17	Tue 8/29/17	Future Task		
3003	8.5.8.5	0%	CR28	MILESTONE GROUP E	128 days	Wed 8/30/17	Tue 3/6/18	Future Task		
3014	8.5.8.6	0%	CR28	MILESTONE GROUP F	50 days	Wed 3/7/18	Tue 5/15/18	Future Task		
3020	8.5.8.7	0%	CR28	MILESTONE GROUP G	34 days	Wed 5/16/18	Tue 7/3/18	Future Task		
3025	8.5.8.8	0%	CR28	MILESTONE GROUP H	20 days	Wed 7/11/18	Tue 8/7/18	Future Task		
3029	8.5.9	4%	CR28	Team E - MM / Financial Responsibility	542 days	Thu 7/21/16	Thu 9/13/18	On Schedule		3089
3030	8.5.9.1	30%	CR28	MILESTONE GROUP A	74 days	Thu 7/21/16	Wed 11/2/16	On Schedule		
3032	8.5.9.1.2	50%	CR28	Sprint 2	15 days	Thu 8/11/16	Wed 8/31/16	On Schedule	3031	3033
3033	8.5.9.1.3	0%	CR28	Sprint 3	14 days	Thu 9/1/16	Wed 9/21/16	Future Task	3032	3034
3034	8.5.9.1.4	0%	CR28	Sprint 4	15 days	Thu 9/22/16	Wed 10/12/16	Future Task	3033	3035
3035	8.5.9.1.5	0%	CR28	MM/FR Sprint - Milestone Group A	14 days	Thu 10/13/16	Tue 11/1/16	Future Task	3034	3036
3036	8.5.9.1.6	0%	CR28	MM/FR Retrospective - Milestone A	1 day	Wed 11/2/16	Wed 11/2/16	Future Task	3035	3038
3037	8.5.9.2	0%	CR28	MILESTONE GROUP B	74 days	Thu 11/3/16	Wed 2/22/17	Future Task		
3044	8.5.9.3	0%	CR28	MILESTONE GROUP C	55 days	Thu 2/23/17	Wed 5/10/17	Future Task		
3050	8.5.9.4	0%	CR28	MILESTONE GROUP D	53 days	Thu 5/11/17	Wed 7/26/17	Future Task		
3056	8.5.9.5	0%	CR28	MILESTONE GROUP E	59 days	Thu 7/27/17	Wed 10/18/17	Future Task		
3062	8.5.9.6	0%	CR28	MILESTONE GROUP F	59 days	Thu 10/19/17	Wed 1/17/18	Future Task		
3068	8.5.9.7	0%	CR28	MILESTONE GROUP G	55 days	Thu 1/18/18	Wed 4/4/18	Future Task		
3074	8.5.9.8	0%	CR28	MILESTONE GROUP H	39 days	Thu 4/5/18	Wed 5/30/18	Future Task		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
3079	8.5.9.9	0%	CR28	MILESTONE GROUP I	20 days	Thu 5/31/18	Wed 6/27/18	Future Task		
3083	8.5.9.10	0%	CR28	MILESTONE GROUP J	54 days	Thu 6/28/18	Thu 9/13/18	Future Task		
3089	8.5.10	0%	CR28	Development COMPLETE	0 days	Thu 9/13/18	Thu 9/13/18	Future Task	930,2974,3029	3293FS-90 days
3090	8.5.11	0%	CR07	Internal OCM Readiness Assessment 2	5 days	Fri 9/14/18	Thu 9/20/18	Future Task		
3093	8.6	0%		PHASE GATE REVIEW - Development	0 days	Thu 9/13/18	Thu 9/13/18	Future Task	3089	
3094	8.7	51%		Testing	903 days	Mon 9/21/15	Mon 4/29/19	Late		
3268	8.7.2	0%		End-to-End User Acceptance Testing	464 days	Fri 3/17/17	Fri 1/18/19	Future Task		
3302	8.7.3	0%		Enterprise System Testing	209 days	Mon 6/11/18	Tue 4/9/19	Future Task		
3312	8.7.4	92%		Security	898 days	Mon 9/21/15	Mon 4/22/19	On Schedule		
3336	8.7.5	0%		Testing COMPLETE	0 days	Mon 4/22/19	Mon 4/22/19	Future Task	335,3301,3291	3340,3435,3338
3337	8.7.6	0%	CR07	Internal & External OCM Readiness Assessment 3	5 days	Tue 4/23/19	Mon 4/29/19	Future Task		
3340	8.7.7	0%		PHASE GATE REVIEW - Testing	0 days	Mon 4/22/19	Mon 4/22/19	Future Task	3336	3435
3341	8.8	11%		Operations Planning	822 days	Wed 9/16/15	Fri 12/28/18	Late		
3370	8.8.2	0%		Policies and Procedures	70 days	Tue 6/28/16	Wed 10/5/16	Late		
3371	8.8.2.1	0%		Update Policies and Procedures	60 days	Tue 6/28/16	Wed 9/21/16	Late	2454,2455	3372
3372	8.8.2.2	0%		Review and Acceptance of Policies and Procedures	10 days	Thu 9/22/16	Wed 10/5/16	Future Task	3371	
3373	8.8.3	0%		Training	563 days	Mon 10/3/16	Fri 12/28/18	Future Task		3400
3400	8.8.4	0%		Operations Planning COMPLETE	0 days	Fri 12/28/18	Fri 12/28/18	Future Task	3373	3401
3401	8.8.5	0%		PHASE GATE REVIEW - Operations Planning	0 days	Fri 12/28/18	Fri 12/28/18	Future Task	3400	3435
3402	8.9	0%		Implementation	502 days	Thu 8/31/17	Wed 8/28/19	Future Task		
3403	8.9.1	0%		Implementation Planning	404 days	Thu 8/31/17	Wed 4/10/19	Future Task		

Schedule IV-B Motorist Modernization Phase I

MM Phase I - MASTER Program Schedule  
v80.1 - week of 8/22/2016

ID	WBS	% Complete	Change Request	Task Name	Duration	Start	Finish	Status	Predecessors	Successors
3429	8.9.2	0%		Production Deployment - MV Renewal Notification	44 days	Tue 7/3/18	Tue 9/4/18	Future Task		
3434	8.9.3	0%		Pilot Deployment	58 days	Tue 4/23/19	Mon 7/15/19	Future Task		
3440	8.9.4	0%		Production Deployment	37 days	Tue 7/9/19	Wed 8/28/19	Future Task		
3445	8.9.5	0%		Implementation COMPLETE	0 days	Wed 8/28/19	Wed 8/28/19	Future Task	3444	3446FS+1 day,9
3446	8.10	0%		Project COMPLETE	0 days	Thu 8/29/19	Thu 8/29/19	Future Task	5FS+1 day,3433	

## **X. Appendix D: Risk Register**





## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
Motorist Modernization (Parent Project)	1	Risk 1	If all of the project business /program area requirements, assumptions, constraints and priorities have not been identified, then the program schedule may be inaccurate.	Stakeholders and program areas will be consulted and requirement, assumptions, constraints, and priorities will be identified.	High	Medium	Schedule	Closed
Motorist Modernization (Parent Project)	2	Risk 2	If program communications are not managed effectively for the extensive internal and external visibility, then service and functionality issues may lead to negative publicity and erode program support.	Involve stakeholders early in the project. Solicit feedback and participation from stakeholders during design and acceptance testing.	High	Low	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	3	Risk 3	If the project development cycle extends for more than 3 years, then the overall program success may be compromised by the complexity and length of the schedule.	Continue to involve stakeholders throughout life of project. Monitor for potential changes to business requirements (state and federal changes). Ensure that new system architecture follows best practices.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	4	Risk 4	If organizational change management is not implemented to align revised business processes and technology changes, then some users may be reluctant to adopt and champion these changes.	A clear vision of the project objectives will be defined and communicated to all stakeholders by executive leadership and the Motorist Modernization Program Team. The Organizational Change Management Plan will address mitigation strategies associated with expected changes as identified. Project communication will be actively monitored and controlled. Any training needs will be defined and documented.	Medium	Low	Schedule	Active
Motorist Modernization (Parent Project)	5	Risk 5	If the Department fails to plan for and communicate business process and technology changes affecting other local/state/federal agencies and private partners, then the program may be impacted by implementation delays and negative publicity.	A clear vision of the project objectives will be defined and communicated to all stakeholders by executive leadership and the Motorist	High	Low	Schedule	Active



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
				Modernization Program Team. Project communication will be actively monitored and controlled. Any training needs will be defined and documented.				
Motorist Modernization (Parent Project)	6	Risk 6	If internal and external communication channels are not clearly established, then a lack of effective program communication will erode support.	Develop a comprehensive communications management plan and strategy.	Low	Low	Schedule	Closed
Motorist Modernization (Parent Project)	7	Risk 7	If there are other technology initiatives that compete in priority, then this may impact project timeline and costs.	Monitor.	Medium	Low	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	8	Risk 8	If all program expenditures have not been identified, then unanticipated program needs may increase the overall budget and impact the schedule.	Implement stringent change control and scope management. Engage in thorough requirements gathering to finalize cost estimates.	Medium	Low	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	9	Risk 9	No staff roles, responsibilities and skills have been identified – The lack of clearly defined roles and responsibilities could contribute to program failure.	Program Manager will work with the Program Director to fully define all team roles prior to the start of the project.	Medium	Low	Schedule	Closed
Motorist Modernization (Parent Project)	10	Risk 10	If the Department contracts with multiple vendors for program staff augmentation, then IT personnel turnover can occur and the inability to retain skilled personnel could impact the program timeline.	Manage staff augmentation needs through a single vendor. Evaluate alternative work arrangements to enable availability of skilled staff needed.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	11	Risk 11	If the Department incurs full time IT personnel turnover, then the inability to retain skilled personnel could impact the program schedule.	Monitor.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	12	Risk 12	If knowledgeable business team members are not dedicated to the program and/or associated projects full-time, then this could elongate timelines, increase costs, or contribute to program failure.	Project Managers and Business Analysts will be as flexible as possible when scheduling sessions or meeting to review requirements. All project meetings will have clear and documented	Medium	High	Schedule	Mitigation Plan defined



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
				objectives. Adequate time will be provided for the review and approval of project deliverables.				
Motorist Modernization (Parent Project)	13	Risk 13	All stakeholders are not represented on the Program Board	Monitor.	High	High	Schedule	Closed
Motorist Modernization (Parent Project)	14	Risk 14	If additional requirements or missing requirements are identified, then this may elongate timelines, increase costs, or contribute to program/project failure.	Stakeholders will be consulted and requirements documented and defined.	High	Medium	Schedule	Active
Motorist Modernization (Parent Project)	15	Risk 15	If the program does not document the technical architecture and a fully developed design specification, then this may elongate timelines, increase costs, or contribute to program/project failure as well as result in negative publicity.	Stakeholders will be consulted and design spec will be clearly documented and defined.	Medium	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	16	Risk 16	If the program communications plan does not address and manage the various stakeholder geographical, cultural, and organizational differences, then this could make communications difficult and may cause missed requirements or unreasonable expectations.	Ensure communications plan addresses statewide communications. Ensure remote participation by employing collaborative tools such as video-conferencing and conference calls.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	17	Risk 17	Several external entities could be impacted by this project – Failure to communicate could result in delays and negative publicity.	Ensure communication plan addresses statewide communications. Emphasis early and frequent communication.	High	Medium	Schedule	Closed
Motorist Modernization (Parent Project)	18	Risk 18	FY15-16 funding for MM Phase I does not include funds to purchase a data replication tool. Inability to purchase a tool could cause schedule delays as the tool is an instrumental piece in the setup of the new development environment. If unable to purchase the tool in FY15-16, the program staff will be unable to perform an automated migration of data between the existing database environment and the modernized ("TO-BE") database environment. This could cause the scope of the development effort to be reduced due to the lack of an automated data migration process and could cause potential schedule	Program Manager will work with the Enterprise Architecture team and CFO to determine program workarounds and financial options.	High	Medium	Schedule, Scope	Closed



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
			delays due to the need for a manual migration process to be created which is time-consuming and error-prone. In addition, staff will be unable to test and validate the new database synchronization process.					
Motorist Modernization (Parent Project)	19	Risk 19	Resource knowledge base may be lost if tasks are completed on schedule and the program halts for 4 months due to receiving a reduced appropriation than requested. The amount for FY15-16 is \$6.4M vs. the requested \$8.4M.	Program Manager will work with the project teams and program leadership to develop program options for the funding provided.	High	High	Budget, Schedule, Scope	Closed
Motorist Modernization (Parent Project)	20	Risk 20	Procurement language for Support Services contract may not be resolved and agreed upon DHSMV and Accenture legal. If all parties cannot agree, the Accenture contract would be terminated and the program would slip the schedule to procure a new vendor and onboard new resources without sufficient background knowledge.	Program Director to work with DHSMV Procurement Chief and Legal to work through contract language and negotiate resolution.	Medium	High	Schedule	Closed
Motorist Modernization (Parent Project)	21	Risk 21	If Department Oracle (12c) database infrastructure upgrades are not implemented in FY 2016-17, then the Pilot and Production deployment will be delayed, and overall program costs could increase.	Program Director will work with DHSMV CIO and leadership to ensure dependencies are understood and addressed. Infrastructure would be at least 5 years out of support as well as exceeding capacity available to support the production environment.	High	High	Budget, Schedule, Scope	Mitigation Plan defined
Motorist Modernization (Parent Project)	22	PG - Risk 22	If the list of database dependencies exceeds the original documented requirements / user stories to be developed and tested, then Citations, CDLIS, FR, and possibly other functional areas may increase in scope and impact the program schedule.	Analyze the dependencies to formulate a solution and implement a scope change request as appropriate.	High	Medium	Schedule	Active
Motorist Modernization (Parent Project)	23	PG - Risk 23	If MTM (test tool) licenses are not purchased to match the projected team of testers needed, then testing tasks may slip the schedule.	Program Manager to proactively work with Budget Admin and team to assess overall need and ensure tools are in place for all team members.	Low	Low	Budget, Schedule	Active
<b>Overall</b>						<b>23</b>		
<b>1</b>	<b>Overall</b>							

# SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

For Fiscal Year 2017-18 through Fiscal Year 2022-2023



October 2016

DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES

## Contents

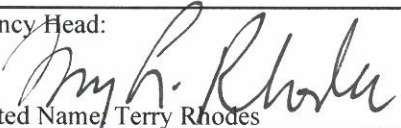
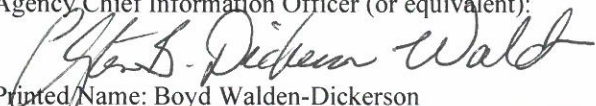

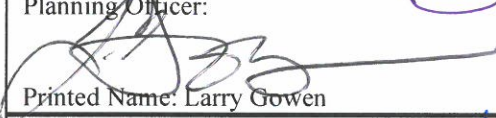
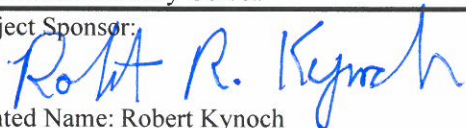
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**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**I. Schedule IV-B Cover Sheet**

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Highway Safety and Motor Vehicles	Schedule IV-B Submission Date: 10/7/2016
Project Name: Motorist Modernization Phase II	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2017-18 LBR Issue Code: 36125C0	FY 2017-18 LBR Issue Title: Motorist Modernization Phase II
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Michelle Morris, 850-617-2151, michellemorris@flhsmv.gov Terrence Samuel, 850-617-2022, terrencesamuel@flhsmv.gov	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: Terry Rhodes	Date: 10/11/16
Agency Chief Information Officer (or equivalent):  Printed Name: Boyd Walden-Dickerson	Date: 10/10/16
Budget Officer:  Printed Name: Susan Carey	Date: 10/11/16
Planning Officer:  Printed Name: Larry Gowen	Date: 11 Oct 16
Project Sponsor:  Printed Name: Robert Kynoch	Date: 10/12/16
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Technology Planning:	Terrence Samuel, 850-617-2022, Terrencesamuel@flhsmv.gov
Project Planning:	Terrence Samuel, 850-617-2022, Terrencesamuel@flhsmv.gov



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****II. Schedule IV-B Business Case – Strategic Needs Assessment****A. Background and Strategic Needs Assessment****1. Business Need**

The Motorist Services program within the Department of Highway Safety and Motor Vehicles supports the issuance of approximately five million driver licenses/identification cards and 24.5 million motor vehicle titles and registrations in Florida annually. These services provide more than \$2.4 billion in State revenues, which is then distributed to General Revenue, the Department of Transportation, the Department of Education, the Law Enforcement Radio Trust Fund, the Department, and others. The Department is a significant revenue source of the state's general revenue funding.

The Department has been issuing licenses and registering vehicles as a consolidated agency since 1969 when the Governmental Reorganization Act combined the Florida Department of Public Safety and the Department of Motor Vehicles, but since that time the Department never combined the two functions. Separate divisions handled driver license issuance and motor vehicle registrations in separate offices using separate computer systems, even though they served the same customers who frequently needed both services. Business needs did not dictate that the divisions integrate their data, standardize processes or provide self-service opportunities. Business process ownership and supporting technology operated in silos, and additional system functionality was developed sporadically or hastily in response to legislative mandates.

During the last two decades, critical changing business needs have caused the Department to move to a more integrated motorist services environment. For years, the concept of a “one-stop shop” has been discussed, and the Department has taken steps towards implementing this starting in 1996 when the Department partnered with county tax collectors to provide driver license issuance services in addition to providing titles and registration services. Some improvements to systems were made to increase ease of use by the tax collectors (such as allowing the use of an external cashiering system), but the systems were not significantly changed.

The next definitive action started in 2009 when the Department merged and centralized various administrative and shared functions and defined a plan to merge the two divisions into one division. The 2010 Legislature approved a plan to migrate most driver license issuance services to the tax collector offices and reduce the number of state-operated driver license offices by 2015. The plan to merge the Divisions of Driver Licenses and Motor Vehicles was effective January 1, 2011.

Over time, numerous applications and processes have been developed; however, the silo (legacy) structure still exists today. Besides agency systems, the Department has collaborated with outside vendors that support different functions associated with driver licenses and motor vehicle titles and registrations. Expanding the Department's partnerships, finding efficiencies in service delivery and re-engineering older legacy systems are core strategies to meeting the Department's strategic goals.

The Department recommends replacing some of the older legacy applications and back-end mainframe-based processes with custom developed software systems. Custom development gives the Department the best chance to implement a system that will be beneficial to all stakeholders. This approach will ensure that the system will be built according to the requirements, laws, rules, and policies of DHSMV and the State of Florida. Risk is associated with any project; however, management of risk, regardless of the approach, will require diligent project management and careful requirements analysis. The Department is confident that custom development provides the best opportunity for success.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

In 2014, the Department began the process of modernizing the legacy driver license systems as part of Motorist Modernization Phase I. The modernization of the driver license system will provide significant improvements that will increase and enhance customer service and create a customer portal that will provide an additional customer service option in which customers can perform driver license services online.

In Phase II of Motorist Modernization, the goal is to unify driver license and motor vehicle title and registration systems to simplify office visits and expand online services for our customers. During Phase II of modernization, the Department will continue to reduce duplicative processes and continue to increase the efficiency and effectiveness of service.

The Department seeks to:

- Protect the lives and security of our residents and visitors through enforcement, service, and education
- Provide efficient and effective services that exceed the expectations of our customers and stakeholders
- Leverage technology in the way we do business
- Build a business environment that regards our members as our most valuable resources

**Customers/Users**

The Department serves over 15.5 million licensed drivers and the registrants of over 18 million registered vehicles, vessels and mobile homes. These represent the general public, commercial drivers, commercial carrier companies and other entities that own vehicles. Overall, the Department serves over two dozen types of customers and users representing hundreds of entities:

<b>Customers/Users</b>	<b>Function Performed by Department</b>
Citizens and Businesses	Deliver Motorist Services
Mobile Home Manufacturers	License business and inspect manufacturing
Other States & Jurisdictions	Provide information on driver and vehicle records received in Florida, receive information on driver and vehicle records received outside of Florida, and information exchange related to law enforcement and homeland security
Car Manufacturers	License manufacturers in Florida and receive/process Manufacturer Certificate of Origin (MCO) in order to title vehicle
Rebuilt Manufacturers	Inspect rebuilt vehicles and issue rebuilt titles if appropriate, allowing vehicles to be sold
Mobile Home Installers	License installers, inspect installations
Ignition Interlock Providers	License providers, track program completion and compliance
DUI Programs	Approve and monitor DUI programs
Commercial Driving Schools	Approve applications from owners and instructors

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

<b>Customers/Users</b>	<b>Function Performed by Department</b>
Motorcycle Training Schools	License and train providers
Researchers	Provide data used for research
Commercial Fleet Manager / Independent Owner-Operators	Issue Commercial Driver License (CDL), International Fuel Tax Agreement (IFTA) / International Registration Plan (IRP)
Specialty Plate Entities	Stock specialty tags, process sales, and distribute revenues in accordance with statute. Monitor usage of fees for compliance.
Non-Profit Organizations	Distribute voluntary contributions received in accordance with statute
Tax Collectors	Provide equipment, systems, procedures, and data in order to issue driver licenses, title and registration transactions on behalf of the Department in accordance with state laws and policies.
Private Tag Agencies	Provide equipment, systems, procedures, and data in order to issue title and registration transactions on behalf of the Tax Collectors/Department in accordance with state laws and policies.
Car Dealers	License dealers to do business in Florida
Electronic Filing System Vendors	Support use of an interface for dealerships to have real time access to vehicle registration and title information from the Department
Commercial Data Purchasers / Entities with Memorandums of Understanding with the Department	Provide/Sell data
Other Federal, State and Local Entities, e.g.: <ul style="list-style-type: none"> <li>• Florida Department of Revenue</li> <li>• Florida Department of Business and Professional Regulation</li> <li>• Florida Department of State</li> <li>• Federal Department of Transportation/ Motor Carrier Safety Administration and Federal Highway Administration</li> <li>• Social Security Administration</li> <li>• Federal Department of Homeland Security (DHS)</li> </ul>	Perform data exchange

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

<b>Customers/Users</b>	<b>Function Performed by Department</b>
Selective Service Administration	Register people eligible for the draft
Donate Life Florida	Register people for organ donation
Supervisor of Elections	Provide voter registration information
Courts	Enforce sanctions or judgments
Department of Revenue/Children of Non-custodial Parents	Suspend driver licenses of noncustodial parents that do not meet their court-ordered child support obligation
Florida Highway Patrol / Law Enforcement	Provide access in order to lookup identity information and other information related to maintaining public safety
Florida Department of Law Enforcement	Report changes of address for offenders
Department Vendors (e.g., PRIDE, etc.)	Provide commodities, equipment, and/or services
American Association of Motor Vehicle Administrators (AAMVA)	Perform data exchange related to driver license and motor vehicle information
IFTA/IRP Inc.	Perform data exchange related to International Fuel Tax Agreement (IFTA) / International Registration Plan (IRP), which distributes fuel use taxes and registration fees to jurisdictions based on use
Electronic Lien and Title Vendors	Support use of an interface for financial institutions to have real time access to vehicle registration information
Insurance Companies	Perform verification of driver insurance information

Overall, the Department must reconfigure its legacy technology infrastructure to support its merged service environment. Until that is accomplished, the Department will have to implement additional workarounds and maintain those workarounds, which is a significant risk. The Department will be at risk of not meeting federal and legislative mandates because the systems and their workarounds simply cannot perform a function.

The current technical environment comprises eight major systems supported by seven database repositories, a dozen “point solutions” and 47 web applications. In addition, numerous batch jobs, batch programs and stored procedures, online transaction services, print services and file transfer protocol (FTP) services transfer data from system to system, update, print or transfer driver license or motor vehicle data, or pull data from external sources. Over 20 programming languages are used to maintain these systems on nearly a dozen different platform environments.

In 2014 after receiving funding from the legislature, the Department began modernizing the Florida Driver License Information System (FDLIS) and supporting systems. As part of the modernization plan the Department will reduce the complexity in the design of driver license and motor vehicle systems and provided provide additional service opportunities to our customers. As part of the overall modernization effort, the driver license and motor vehicle system will be integrated into one system supported with a customer centric database. The customer centric database and the integrated systems for driver licenses and motor vehicle will enable the Department to provide customers with comprehensive information related to their customer record.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

The modernization of the driver license system is underway however; the motor vehicle system is still maintained on legacy architecture and will not be integrated into the driver license system currently being redesigned if it is not modernized.

The complexity, design, and age of these software components creates inefficiencies and challenges in supporting and maintaining the environment, which present significant risks. The inefficiencies and challenges of the current technical environment include:

- Multiple systems and data architecture creates complexity which introduces errors;
- Implementation of changes and bug-fixes is difficult and time consuming – there are over 400 change requests;
- Difficulty integrating software packages;
- Difficulty locating and retaining staff with the skill sets;
- Increased support, maintenance, and contractor costs, and
- Difficulty providing data security and data integrity.

In addition, the two primary systems, the Florida Driver License Information System (FDLIS) and the Florida Real-Time Vehicle Information System (FRVIS) were built on architecture that required a local server to run in the field offices and Tax Collectors. This means that 436 servers were purchased by the Department and maintained in the field, data is stored in over 1,500 databases in the field, and updates to these systems must be promoted to 436 locations when a new software version is released quarterly and with patches released as required.

Some technology challenges affect the Information System Administration's (ISA) capacity to respond to businesses' requests for new or modified functionality, while others cause direct risks to the business including:

- Risk to public safety;
- Risk of non-compliance with federal and State mandates;
- Risk of increased operating costs;
- Risk of uncollected or delayed revenue; and
- Risk of reputational injury.

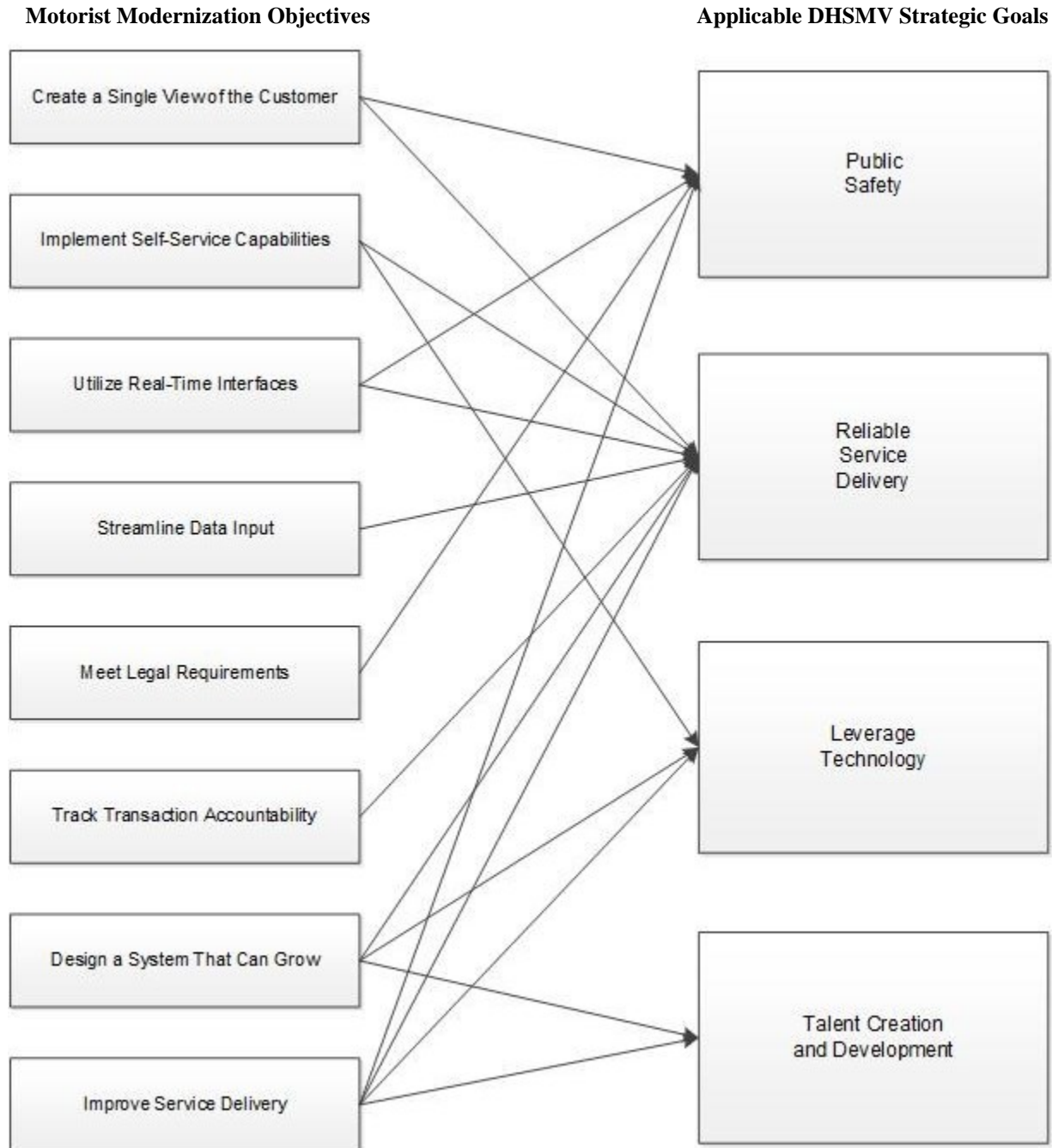
Without re-engineering and simplifying the current environment, the Department will continue to face:

- Risk of end-of-life system failure;
- Risk of a rigid infrastructure and lack of scalability and flexibility to support future growth or changing legislative mandates;
- Risk of being unable to support the current data model;
- Potential of missed revenue from an inability to audit functions that present opportunities for non-compliant activity;
- Risk that data needed by law enforcement to enforce public safety (e.g., identification of sexual predator status, motor vehicle information) will be unavailable or inaccurate;
- Risk of not reporting the activities of the Department effectively because of discrepancies in data between multiple systems; and
- Criticism from tax collectors and tag agents that want to eliminate redundancies and inefficiencies in their organizations that stem from the legacy systems used by the Department.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**2. Business Objectives**

The creation of a consolidated approach to customer service by merging the Divisions of Driver Licenses and Motor Vehicles, and expanding the Department’s partnership with Tax Collectors, is the core strategy to meeting the Department’s Strategic Goals stated in Fiscal Year 2009-10 and still maintain today. The goal of the proposed Motorist Modernization Project is to remove the technical barriers to complete the Department’s organizational restructuring. This goal is split into eight implementable objectives closely aligned with the DHSMV Fiscal Year 2014-15 strategic goals.



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- **Objective 1: Create a Single View of the Customer**

The new issuance system should provide the ability to see or link to all of the information the Department stores about a customer from one location. Today, information on an individual might be stored in many systems, and sometimes in multiple locations within a single system. Having a single view will help alleviate current risks that instances of non-compliance are not discovered or revenue is not collected. It will also reduce processing time and opportunity for entry error by decreasing redundant data keying and will support the tax collectors' requests for a consolidated view.
- **Objective 2: Implement Self-Service Capabilities**

Self-service capabilities will be supported for the public, for external reporting requests, data sales, and for internal reporting. Processes to initiate transactions, request reports and / or capture performance data are largely manual and rely on interaction with the technology group.
- **Objective 3: Utilize Real-Time Interfaces**

Simplify or eliminate processes by establishing real-time lookup or data exchange relationships with third-party data providers. Interfaces are manual or batch processes, which experience delays, do not always finish processing overnight, and are the least accurate method of processing. These overnight processes also result in multiple interactions with the same customer, which increases expense and customer frustration.
- **Objective 4: Streamline Data Input**

Streamlining processes to reduce duplication and/or to reuse existing data will assist in reducing data errors – created through either duplicate data entries or typographical errors. The reduction or elimination of any paper documents in use will also help streamline processes and reduce errors.
- **Objective 5: Meet Legal Requirements**

The Department is subject to numerous state and federal legal requirements, besides public expectations regarding data privacy and security. The current environment has security risks due to its age and underlying architectures. Data integrity is also a risk due to the potential for data entry errors. Also, the batch processes are susceptible to timeouts and incomplete file transfers. Overall, the complexity of updating the current system restricts the ability of the Department to meet new mandates as laws and rules change.
- **Objective 6: Track Transaction Accountability**

Now that the Department has completed its transition of most driver license (DL) issuance activities to tax collectors, the functions retained will refocus to a monitor and oversight role, for those offices. To effectively perform this role, the Department will require the ability to track transactions executed by others on behalf of the Department. Comprehensive auditing will include review within the application, establishing policies related to authentication credentials expectations and developing more robust error or exception reporting. Data not commonly captured by the system today will be audited to minimize challenges with revenue reconciliation, improve error correction and increase issue resolution.
- **Objective 7: Design a System that Can Grow**

It is important that the Department implement a system that is flexible and expandable. The Department exists in a highly regulated environment with rules that change frequently, and sometimes with little notice. A system that utilizes modern architecture and components such as configurable

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

parameters and rules-based logic will better position the Department to locate and retain technical resources with the right skill sets and stay responsive to the needs of State and federal lawmakers.

- **Objective 8: Improve Service Delivery**

System performance is key to improving service delivery. The new system must operate with the highest reliability during scheduled business hours and provide proactive real time communication to stakeholders when outages occur. The system must support all motorist service business processes and functions and align them with the technologies. The system must support multiple service delivery channels and the DHSMV staff, Tax Collectors, Courts and other entities and agencies' personnel that access the system. The system must safeguard private information and manage data securely to ensure public trust.

System performance is critical to improving service delivery. The new system must:

- Operate reliably during scheduled business hours and provide real time communication to stakeholders when outages occur;
- Support Motorist Services business processes and functions and align them with the technologies;
- Support multiple service delivery channels and the DHSMV staff, tax collectors, and other entities and personnel that access the system; and
- Safeguard private information and manage data securely to ensure public trust.

Because the environment is so complex, the Department continues to propose a staged reengineering and redevelopment effort by grouping the planned work into three phases: Driver Licenses, Motor Vehicles, and Licensing and Business Support systems. This proposal is based on the research of other states' and their attempts to replace their motorist systems. Phasing the work lowers overall project risk and provides improved services to our customers in a more timely fashion. Phase II will include these processes and systems:

- **Redesign database structure and implement data quality controls.** The Department recognizes the need to implement controls to support data quality. By redesigning the database, the Department can eliminate inefficiencies, redundancies and discrepancies present in the current database implementations and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion.
- **Replace the Florida Real-Time Vehicle Information System (FRVIS) and supporting systems.** FRVIS is a client/server application used in GHQ and also deployed in the tax collector and regional Department offices statewide to support the motor vehicle issuance process workflow. To stay interoperable with the changes to the underlying database, the batch processes that maintain motor vehicle records and FRVIS must be upgraded in unison. The FRVIS system includes these subsystems:
  - **Titles:** Subsystem used to provide titling service such as original title, duplicate title and title transfers.
  - **Registrations:** Subsystem used to provide registration services to customers including issuance of an original, renewal, replacement, and duplicate registration.
  - **Inventory:** Subsystem used to track and manage issuance of inventory, such as decals, title paper and license plates.
  - **Vehicle Inspections:** Subsystem used to support inspection of rebuilt motor vehicles, mobile homes or motorcycles previously declared salvage or junk.
  - **Disabled Persons Parking Permit Placards:** Subsystem used to provide original, temporary or subsequent parking permit placards to customers.
  - **Dealer Licensing / Consumer Complaints:** Subsystem used to support the regulation of licensing of motor vehicle dealers and manufacturers, and track consumer complaints.



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- **Mobile Home Installer:** Subsystem used to support the installation of mobile homes, manufactured homes and park trailers and for manufacturing components, products, or systems used in the installation of mobile homes, manufactured homes and park trailers.
- **International Fuel Tax Agreement / International Registration Plan (IFTA/IRP):** IFTA is the subsystem used to support an agreement between states and Canadian provinces to simplify the reporting of fuel use by motor carriers. IRP is the subsystem used to support the reciprocal agreement that authorizes the proportional registration among the jurisdictions (states) of commercial motor vehicles.
- **Development of a Fleet Management System.** The Department will create a new subsystem that will allow participants to manage the title and registration activities for all fleet vehicles (e.g., rental and leasing companies) electronically. These activities include renewing all expiring registrations at one time, title and register vehicles electronically, report vehicles sold and manage fleet records.
- **MyDMV Portal.** The Department is creating a new customer portal as part of Phase I of Motorist Modernization. The new customer portal replaces GoRenew.com the Department's current self-service portal also known as "Virtual Office" which provides limited access to services for motorists. During Phase II of Motorist Modernization, the Department will continue to add functionality focusing on motor vehicle services to the MyDMV Portal that will allow motorists to access more services, allowing citizens to interact with the Department via this self-service portal.

Implementation of Motorist Modernization Phase II will allow the Department to improve customer service, meet the needs of the tax collectors performing issuance activities, increase data availability and quality, expand the ability to integrate with business partners and better support public safety.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****B. Baseline Analysis**

The Department of Highway Safety and Motor Vehicles is composed of four major areas:

- Administrative Services/Executive Direction
- Florida Highway Patrol
- Motorist Services (Comprised of the former Driver Licenses and Motor Vehicle Divisions)
- Information Systems Administration (ISA)

Motorist Services' responsibilities include credentialing drivers through issuing driver licenses, credentialing vehicles through issuing titles and registrations, and overseeing related compliance programs. Responsibilities also include investigating and resolving consumer complaints, inspecting and titling rebuilt vehicles, registering and auditing Florida-based commercial carriers, data exchange and reporting, and helping ensure manufactured or mobile homes are constructed and installed in compliance with federal and state standards. Specific activities include enforcing insurance coverage requirements, overseeing the state's DUI education programs, records exchange, and reporting. ISA provides information technology resources to assist the operational areas in accomplishing the Department's mission and goals. It accomplishes this through acquisition of computer equipment, software and services, software development, system installation and maintenance, network administration, computer operations, and desktop support.

The Department touches nearly every household in Florida through credentialing and public safety activities and plays a significant role within the Florida state government. Besides issuing driver licenses and registering and titling vehicles, the Department has become the information technology backbone that supports roadside law enforcement, dispatch for other state law enforcement agencies, organ donation registration, voter registration, and selective service registration processes. Since September 11, 2001, the Department, through systems such as the Commercial Vehicle Information System Network, has participated in Federal and state information sharing efforts to support securing the homeland to help fight terrorism and reduce fraud. Also, the Department became one of only a handful of states to comply with federal Department of Homeland Security REAL ID credentialing requirements. In achieving this status, the Department became the "authoritative source" of identity for all Floridians. The Department is a \$2.4 billion business, which collects revenue and distributes the funds to other state agencies that provide critical state services such as roads and schools.

Many systems currently utilized were developed when the business and the environment of the Department were very different. Until the late 1990s the Division of Driver Licenses and the Division of Motor Vehicles, although sharing a common customer base, shared little else. Business needs did not dictate that either of the divisions integrate their data, standardize processes or provide self-service opportunities. Business process ownership and supporting technology operated in silos, and additional system functionality was developed sporadically or when legislative mandates required such.

However, business needs have shifted causing the Department to move to a more integrated environment. This shift has resulted in the January 2011 merger of the two divisions into the Division of Motorist Services. While the organizational structure has changed, the Department's vision for an integrated approach to servicing its customers and stakeholders will not be realized until the technical barriers to integration are removed.

The evolution of the systems over time have led to a complex technical environment that is multi-layered, using numerous technologies and requiring many people and skill sets to maintain. The Department maintains over 30 different platform, database environments and programming languages, which must be supported by technical staff. Many of the modification requests and projects require changes across the numerous platforms which increase the duration of project implementation and the possibility of system(s) failure. Frequent new federal statutes or state statute, rule and fee changes generate requests and projects to modify the systems and add to the technical complexity. Lack of integration prohibits the ability to show "a single view of the customer" resulting

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

in service obstacles for tax collectors. Lack of real-time interfaces elongates completion of business transactions and drives inefficiencies in other functional areas of the Department.

Motorist Modernization Phase II will enable the Department to implement and utilize newer technologies to better serve the stakeholders and citizens of Florida. Upon removal of the technical barriers, the Division of Motorist Services and its agents can provide better service to the public by offering a broader array of motor vehicle services online, which will allow employees to access data and provide service through a single unified system. In addition, the Department can use the planned system in its oversight role with the tax collectors.

Merging the driver license and motor vehicle systems will allow the Department to better audit transactions conducted by county/state employees who are currently working in two systems while conducting transactions for a single customer. A more streamlined audit function should allow the Department to see and react to unusual transaction occurrences more quickly. In summary, the end result of successful implementation will enable the Department to increase customer service, allow cost reductions through economy of scale, develop reusable application software and examine business processes to look for opportunities for greater efficiencies.

### 1. Current Business Process(es)

The current business processes below are grouped into four main areas: issuance, maintenance, enforcement and revenue collection and distribution. The primary focus of the Motorists Modernization Phase II program concentrates heavily on the Motor Vehicle issuance process and all supporting subsystems. This will consist of the customer facing and back-end components, which include associated batch mainframe systems.

#### a. Issuance

##### *Issuance Background*

The purpose of issuance activities is to assign a privilege to a customer based on meeting certain criteria. The process involves verifying and validating an applicant's documents and test results against proscribed (state/federal) criteria, capturing records, collecting fees and issuing a credential. Three major types of issuance activities take place in State operated facilities, tax collector offices, private tag agency locations, and car dealerships throughout the state. Issuance fees account for a significant source of revenue in the Department and are tied to federal transportation funding for Florida.

The basic processes for the three categories of issuance are the same, but they are administered separately. Silos in business ownership and supporting technology mean the workflow and approach is not standardized, and information is stored in multiple locations. Examiners responsible for executing the issuance process must log on to multiple systems (each with different credentials), enter data multiple times and check multiple interfaces for critical flags. Issuance requires starting in one application, exiting to process in two or three others, and then re-keying results into the first application.

The three areas of issuance activities are:

- Driver license (which includes identification cards).
- Motor vehicle titles and registrations.
- International Fuel Tax Agreement (IFTA) licenses and International Registration Plan (IRP) registrations.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****1) Driver License Issuance Services****Driver License Issuance Overview**

Driver license issuance includes driver license classes A, B, C & E, identification card issuance, renewals, replacements, and reinstatements. The process includes verification of identity, residency, knowledge, and skills ability for initial issuance and some lesser number of these requirements for renewals, replacements, reinstatements, and clearances. Requirements vary based on citizenship, lawful presence (U.S. legal status), and type of license. Driver license issuance also includes applicant consent for participation in various state and federal programs including, but not limited to, Motor Voter Act, Organ Donor, Selective Service, and Emergency Contact Information. In addition, customers may make voluntary contributions to various organizations. The credential issued contains the eligibility, restrictions, privileges, endorsements, and/or program participation for the respective applicant and serves as the identity verification document.

Driver license (DL) issuance functions include these transactions:

- ID card for U.S. citizen
- Renewal/replacement ID card for U.S. citizen
- ID card for foreign national (immigrant or non-immigrant)
- Renewal/replacement ID card for foreign national (immigrant or non-immigrant)
- Transfer out-of-state license to Florida – U.S. citizen
- Driver license renewal for U.S. citizen
- Original Florida license - never licensed before – U.S. citizen or foreign national (immigrant or non-immigrant)
- Replacement license for U.S. citizen
- Transfer out-of-state license - foreign national (immigrant or non-immigrant)
- Driver license renewal - foreign national (immigrant or non-immigrant)
- Replacement license for foreign national (immigrant or non-immigrant)
- Clearances: court clearances, child support sanctions; financial responsibility sanctions; cancellations for foreign nationals with document issues;
- Clearances: suspensions, revocations, disqualifications and cancellations requiring additional knowledge skills and abilities
- Clearance of sanctions (e.g. DUI)
- Commercial driver license (CDL)/hazmat endorsement with fingerprinting
- Registration of sexual offenders, sexual predators, and career offenders
- Medical and five day letter re-exams
- Adding/removing endorsements and restrictions from licenses
- Written exams - CDL or regular license class

**a) Driver License Issuance (first time, U.S. citizen, and foreign national)****Driver License Issuance Description**

First time driver license issuance is the process of a U.S. citizen or foreign national (immigrant or non-immigrant) applying for a first-time Florida driver license and either being issued a permanent or temporary license.

**Driver License Issuance Process Steps****Determine Applicant Eligibility**

For U.S. citizens, if mandated documentation is present and deemed authentic, information is captured in FDLIS for automatic checks with the Problem Driver Pointer System (PDPS), Social Security Administration (SSA), Commercial Driver License Information System (CDLIS) and Driver License Production Database. Several of these checks go through the American Association of Motor Vehicle Administrators (AAMVA).

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

For foreign nationals, if mandated immigration documentation is present and deemed authentic, information is captured in FDLIS and transmitted to Department of Homeland Security for verification and approval via the Verification of Lawful Status (VLS) system.

**Applicant Screening**

A transaction type is selected for eligible applicants, a photo is taken, a mandatory eye test is administered using OPTIC1000 and the applicant signature is obtained using signature pad and stylus. Identification and residency documents are scanned and electronically attached to the applicant's record. Applicant screening and personal information questions are asked with responses entered in designated boxes on FDLIS issuance screens. Affirmative responses to various questions require additional information to be provided and entered (e.g., has your driving privilege ever been denied in another state? If yes, what state and why?). Affirmative responses to several questions require entering information on a separate screen (e.g. sexual predator/sexual offender address) and, in one instance, requiring duplicate entry of personal identifiable information on a separate screen (Motor Voter). If applicant is a male between certain ages, selective service information is also captured and batched for transmission to the Selective Service Administration.

**Exam Data Entry**

Applicant is then directed to a work station to access the Automated Driver License Testing System (ADLTS) to take a written exam. The results are manually entered into the applicant record in FDLIS. The applicant is then tested behind-the-wheel, having first shown proof of vehicle registration and insurance. The results of the behind-the-wheel test are manually entered into a log and then into FDLIS. If it is a CDL issuance, special edits and endorsements (e.g., hazmat) may be required, and the behind-the-wheel test is taken at either a vendor location or six State-operated sites. If applicant tests were taken at a vendor location, a separate web application must be accessed to obtain and print results and then manually enter the results into the applicant's record in FDLIS.

**Functional Processing/Capture Records**

Applicant's restrictions (such as "corrective lenses) and endorsements (such as "hazmat") are captured on the license form, in addition to type and class. Obtain any additional information as required for restrictions/endorsements. Review the transaction and have applicant attest that information is true.

**Revenue Collection/Update/Issuance**

The cashiering system is accessed. This system differs dependent upon whether the transaction is taking place in a State-operated facility or a tax collector office. If it is a State-operated facility, the clerk goes to FDLIS cashiering. Within the tax collector offices, systems differ depending on whether the tax collector has consolidated their motorist services and tax transactions and on which vendor system they operate. Voluntary contribution information endorsements and license class are entered. Fees are determined for the transaction and, if applicable, service fee is calculated. If the applicant is a U.S. citizen, the driver license is printed. If the applicant is a foreign national, a 30-day temporary driving license form letter is printed. (Note: if an applicant would like to register a vehicle in addition to receiving a driver license, tax collectors must log out of FDLIS and then log in to FRVIS. Unless the tax collector has a consolidated cashiering system, the customer must pay separately for each item.)

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**Stakeholders

- DL applicants
- Tax Collectors
- DHSMV Motorist Services staff
- Florida and out-of-state law enforcement entities
- Federal Departments of Homeland Security, Transportation/Federal Motor Carrier Safety Administration, Social Security Administration
- Florida Motorists
- Florida Governor's Office and other Florida state, county and city governmental agencies (e.g., supervisor of elections)
- Other state driver licensing entities
- Private schools/businesses providing driver related services (e.g., driving schools, DUI programs)
- Driver safety focused organizations (e.g., Mothers Against Drunk Driving (MADD))
- Vendors that provide driver license equipment
- General public
- Lenders/Lienholders
- Insurance companies
- AAMVA

Interfaces

- Florida Driver License Information System (FDLIS) - client server application enabling basic driver licensing process workflow and storing specific driver license information, (e.g., vision and skills test results)
- Cogent - application used for commercial driver licenses to store fingerprint images on file/print server
- Capture System - used to scan and capture driver signature and picture. for printing licenses
- Inventory System – used to track inventory card stock used for printing licenses.
- FDLIS Cashiering System - in State-operated facilities and various systems in tax collector offices
- Camera System - takes/develops driver license or ID card photos
- Scanners - scan and electronically attach paper documentation to applicant files
- Automated Driver License Testing System (ADLTS) – application for driver license written testing, scoring and storing results
- Optic1000 - for eye exams
- Card and Cashier printer
- Online Appointment Service and Information System (OASIS) – web-based application used to display and record DL appointment and time
- Q-Matic- in-facility/office queuing management system
- Signature Pad with Stylus for DL applicant signature
- Verification of Lawful Status via the AAMVA Network
- National Driver Registry - via the AAMVA Network
- Social Security Administration - via the AAMVA Network
- Commercial Driver License System (CDLIS) - via the AAMVA Network
- DL database checks for applicant record, duplicate social security numbers
- NLETS – National Law Enforcement Telecommunications System

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**Inputs

- Paper identification documents (e.g., birth certificate, social security card)
- Paper proof of residence documents (e.g., voter registration card, vehicle registration, letter with home address)
- Proof of insurance, medical letter
- Clearance for sanctions and other enforcement actions
- These paper documents are manually scanned and electronically attached to the applicant's driver record
- Applicant pictures manually taken using Capture and electronically attached to the applicants driver record
- Existing driver records/information is electronically accessed on FDLIS to verify completion of mandatory requirements, enforcement action or sanctions
- Acknowledgements of completion of Driver Education and/or Drug-related courses are accessed from a website and printed and then data entered into FDLIS
- Driver License Manual is accessed from PartnerNet /SharePoint

Outputs

- Driver license and identification card through Capture
- Driver record generated in FDLIS
- Letter authorizing driving privileges for a temporary time period for foreign nationals/immigrants through FDLIS
- Customer transaction financial receipts through FDLIS cashiering process and cashier printer
- End of Day Reports through FDLIS

Driver License Issuance Current Technical Challenges

- FDLIS lacks real-time interfaces with many of the third-party systems used in issuance. This leads to the need for developing manual workarounds. Manual processes have been developed to compensate for the lack of real-time data. Large dependencies are on external webpages to access necessary information. Scanned documents take a day to show up in the customer's records. (This depends on end-of-day uploads to servers.)

**b. Driver License Record Maintenance**Record Maintenance Background

The Department not only provides issuance and enforcement functions for the State, but is also an information source for many entities. The data in these records is relied upon by many functions and user groups. Below are some examples:

- It is the foundation for other driver- or vehicle-related functions (such as sanctions);
- It is used by many organizations to establish identity and/or residency;
- It is used by law enforcement to establish identity;
- It is relied upon for public safety, and
- It is provided to many outside entities for a fee, which generates revenue for the State.

**1) Driver License Record Maintenance**DL Record Maintenance Overview

Driver licenses are the authoritative source of identity. The Department is responsible for issuing driver licenses and for maintaining the underlying driver records. Driver records must reflect current personal information, driver status, compliance with insurance requirements, and many other pertinent pieces of information. Keeping up-to-date driver records involves many processes across the organization. In addition to issuance, the Department collects driver data which includes organ donor registration and emergency contact information. The Department must also track drivers' violations of laws and other requirements that can affect driver license status.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

Updated information received from several different external and internal sources include:

**Internal Sources:**

- Initial issuance information is gathered and utilized to either create original driver records or update existing records and includes: driver's personal information such as name, DOB, and address, Motor Voter registration, organ donor registration, emergency contact information, and sexual predator/offender registration, and
- Information regarding compliance with required education requirements such as motorcycle training, DUI intervention programs, and the Ignition Interlock Device (IID) program as tracked and maintained by Driver Education staff.

**External Information:**

- Sexual offender, predator, and career offender information, crash information and re-exam requirements received from law enforcement agencies;
- Drivers' insurance coverage information received from insurance companies and processed by the Financial Responsibility unit to verify compliance with minimum coverage requirements and impose sanctions, if necessary;
- In-state driver citations and sanctions received from the Clerk of Court, entered by DL Records staff, and reviewed by Driver Improvement staff;
- Out-of-State citations and sanctions received from other jurisdictions and manually entered into driver records by Clerk of Court and DL Records staff and reviewed by Driver Improvement staff;
- Out-of-State CDL citations and sanctions received from the CDLIS system maintained by AAMVA;
- Child support and genetic testing information resulting in driver sanctions received from Department of Revenue or the courts and entered into driver records by DL Records staff;
- Death files received from the Social Security Administration and Vital Statistics;
- Address change information received from the United States Postal Service; and
- School attendance information received from the Department of Education.

**a) Driver License Records – Citations and Sanctions**

*Citations and Sanctions Background*

The sanction update process is the mechanism in place for ensuring that violations of State laws by Florida drivers are tracked, appropriate consequences are imposed, and sanctions are cleared as remedial actions are performed by the driver. Once input into driver records, sanction information is accessed by the Driver Improvement staff, reviewed, and then used to generate letters sent out to Florida drivers to communicate sanction information and requirements that must be met to remediate sanctions imposed.

*Citations and Sanctions Overview*

DL Records staff enter citations and sanction obligations into the Florida driver record when received from the Clerk of Court and from other jurisdictions. In-state citations are standardized, and the Department is responsible for printing, issuing, and tracking inventory for the uniform traffic citation form used by most law enforcement agencies when issuing traffic citations. When issued, citations are entered by the Clerk of Court into the Traffic Citation Accounting Transmittal System (TCATS). From there, the Department updates driver records to reflect the citation(s) issued. In addition to citations, the Department updates driver records to include sanction information, as provided by the county Clerk of Court. Once entered into driver records, the Department's Driver Improvement staff review the citations and sanctions and send notification of the action and remedial requirements to the affected drivers, if necessary. When requirements have been met to regain privileges, driver records must be updated to reflect compliance. Compliance information is received from outside entities such as county Clerks of Court or internally from the Department.



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

In 2015, Florida law enforcement agencies issued 3,387,909 citations. The bulk of these citations were entered into Florida driver records through the electronic TCATS process; however, manual entry is performed for citations and sanctions received from out-of-state jurisdictions. Manual entry is also performed for clerk data errors or system limitations in accepting unique data requirements for citations and sanctions issued by law enforcement within the State of Florida.

Once this information is received by the Department, the data must then be input into the appropriate driver records by an automated or manual process, depending upon the format of the source data.

**In-state Citations***In-state Citations Description*

This is the process of updating driver records to contain information regarding uniform traffic citations issued to Florida drivers by Florida law enforcement agents.

*In-state Citations Process Steps*

The citation update process begins with the issuance of citation inventory to Florida law enforcement agencies. Uniform Traffic Citations (UTC's) are distributed utilizing the Citation Tracking System in the Motorist Maintenance system, then law enforcement agencies either use hard copy UTC's or electronic citation numbers as assigned to issue citations to drivers violating State laws. Upon issuance, law enforcement officials have 10 days to provide a copy of the issued UTC to the Clerk of Court. The Clerks then import or manually enter UTC information into the TCATS system. The Clerks send citation files to the Florida Court Clerks and Comptrollers (FCCC) to run an error report to ensure that the data is in the correct format. Once the citation information has been through the FCCC error check process, it is transmitted by a batch process to the Department. Two error checks are performed by the Department before the citation information can be processed to a driver's record. First, an error check is run to make sure the data follows the Department's format requirements. If there are issues in the records, the records are sent back to TCATS for resolution. If there are not any errors in the first error check, the data is run through an inventory validation check to make sure that the citation number is valid and corresponds to the entity issued that citation number originally. If issues are noted in this error check, the citation must go through a manual resolution process carried out by Department staff. If there are no issues in both error checks, the citation is attached to the corresponding driver's record through an automated process. Once citation information is included in driver records, the Driver Improvement staff reviews the citation and sanctions information. A communication is then sent to the driver detailing the consequences and necessary actions.

**In-State Sanctions***In-state Sanctions Description*

This is the process of updating driving records to contain sanctions issued against Florida drivers by Florida County Clerks of Court.

*In-state Sanctions Process Steps*

The non-citation sanction update process begins with the issuance of sanctions in the form of court orders from the county Clerks of Court.

Court orders are provided to the Department by Clerks of Court in either hard copy by mail or fax or soft copy via email. When sanction information is received, DHSMV DL Records staff must manually enter the sanction information into the Motorist Maintenance system. The documents are received, scanned, and stored at the Department. Once sanction information is included on driver records, the Driver Improvement staff

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

then review sanction information and send communication to the driver detailing the consequences and necessary actions.

In addition to court ordered sanctions, the Clerks of Court also provides the Department with criminal financial responsibilities such as court costs owed to the State by convicted criminals. This information is provided by Clerks either in hard copy or in an electronic file via email. Hard copy criminal financial responsibility information received must be entered into the driver record manually by DL Records staff. If sent electronically, Clerks provide a flat file containing criminal financial responsibility information to the Florida Court Clerks and Comptrollers association (FCCC) to be submitted to DHSMV.

**Out-of-state Citations & Sanctions***Out-of-state Citations & Sanctions Description*

This is the process of updating driving records for Florida drivers to reflect sanctions issued against drivers by out-of-State jurisdictions.

*Out-of-state Citations & Sanctions Process Steps*

The out-of-state sanction and citation update process begins with issuing sanctions by jurisdictions outside of the State of Florida. Sanction or citation information for individuals is provided by other jurisdictions in either hard copy by mail or fax or soft copy via email. When sanction or citation information is received, DHSMV DL records staff must manually enter the sanction information into the Motorist Maintenance system. Once sanction or citation information is included in driver records, Driver Improvement staff then review the information and send communication in the mail to the driver detailing the consequences and necessary actions.

**Out-of-state CDL Sanctions and Citations***Out-of-state CDL Sanctions & Citations Description*

This is the process of updating driving records for commercial drivers to include sanctions and citations issued to CDL drivers licensed in Florida by out-of-state law enforcement agents or judicial systems.

*Out-of-state CDL Sanctions & Citations Process Steps*

Out-of-state citations and sanctions issued by law enforcement or courts in other jurisdictions to commercial drivers licensed in the State of Florida are provided to the Department electronically. Each jurisdiction must provide sanction and citation information for CDL drivers to CDLIS, which is maintained by AAMVA. The CDLIS system provides real-time data to the Department when citations and/or sanctions information is received. The Department then runs a batch process to apply the citation or sanction information to the driver's record within the driver database.

**Sanction Resolution Process:***Sanction Resolution Process Description*

This is the process of updating driving records to clear sanctions when the appropriate requirements have been met by drivers.

*Sanction Resolution Process Steps*

If requirements are met by the driver within the given time frame, the Clerk of Court enters the clearance information into TCATS, which then follows the process described above where the clearance information is automatically uploaded to the corresponding driver's record. This completes the sanction update process.

If requirements are not met within the given time frame, the Clerk of Court enters suspension information into the TCATS system, which then follows the process described above to be uploaded to the corresponding driver's record. Once suspension information is included in the driver's record, Driver Improvement staff handles further

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processing. If the driver complies with requirements prior to the effective date assigned by Driver Improvement staff, the sanction is canceled.

For “failure to comply”, the driver can go into a Clerk’s office and pay the necessary fine(s) and/or demonstrate that other requirements were met. The Clerk then enters clearance information into their information system, the Comprehensive Case Information System (CCIS). This process clears the driver’s record and can be performed while the driver is at the counter in the Clerk’s office.

If the suspension was due to a criminal financial obligation, the Clerk cannot clear the record within the CCIS system. In these instances, the driver can either go to a DHSMV or tax collector office for instant clearance or the clerk can enter the clearance information into TCATS. Entry into TCATS must go through a batch process to update the driver record with clearance information. Because of this lag in clearance, drivers usually go to a DHSMV or tax collector office where clearance information can be entered directly into the driver’s record through FDLIS. If the clearance information is entered at the tax collector’s office, the driver also incurs an additional reinstatement fee.

Stakeholders

- General public
- Florida drivers
- Law enforcement
- Florida Court Clerks and Comptrollers
- Other jurisdictions
- ISA
- DL Records staff
- AAMVA
- Tax Collectors

Interfaces

- FDLIS
- Traffic Citation Accounting Transmission System (TCATS)
- Motorist Maintenance
- Driver Uniform Ticket (DUT)
- Commercial Driver License Information System (CDLIS)
- Comprehensive Case Information System (CCIS )
- FCCC website
- Mail/Fax
- Email/Outlook

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

<b>Inputs</b>			
<b>Information Received</b>	<b>Description</b>	<b>Source</b>	<b>Format</b>
In-state citations	Citations issued by Florida law enforcement officials to Florida drivers that have violated Florida driving laws	Florida Court Clerks and Comptrollers	Electronically through the TCATS system
In-state sanctions	Sanctions imposed upon Florida drivers in the form of court orders issued by the Florida Court system for violation of Florida laws	Florida Court Clerks and Comptrollers	Copy by mail / fax or soft copy via email (format cannot be uploaded into the system electronically)
Florida criminal financial obligations	Financial obligations imposed upon convicted criminals (e.g., court costs)	Florida Court Clerks and Comptrollers	Copy by mail / fax or soft copy via email (format cannot be uploaded into the system electronically) Flat files sent to FCCC and then submitted to the Department by FCCC
Out-of-State citations and sanctions	Citations and/or sanctions issued to Florida drivers by law enforcement or courts in other jurisdictions	Out-of-State jurisdictions	Copy by mail / fax or soft copy via email (format cannot be uploaded into the system electronically)
Out-of-State CDL sanctions and citations	Citations and/or sanctions issued to Florida commercial drivers by law enforcement or courts in other jurisdictions	AAMVA	Electronically through the CDLIS system

**Outputs**

- Updated driver records
- Communication to drivers regarding sanctions and citations
- Record sales
- Data exchange with government entities and law enforcement agencies

**Driver License Record Updates Citations and Sanctions Technical Challenges:**

- Out-of-State citation and sanction information for CDL drivers licensed in Florida is available to the Department real-time, but not posted to the driver record until processed through a scheduled batch program.
- The CCIS system does not allow Clerks of Court to clear criminal financial obligation violations.
- There is a risk that the sexual offender status is not flagged on the driver record. This is both a technical and business challenge. The business challenge is that the Department relies upon self-reporting and registration to identify drivers that should be flagged as a sexual offender. If a person fails to register with the Department, the record is not flagged. The technical challenge is caused by the batch nature of the update. When a driver self-reports their status, a batch process queries the FDLE database and results are posted back to the driver's record. The batch processes causes a delay between self-registration and drivers record update.

**c. Enforcement Activities***Enforcement Activities Background*

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

The Department's core mission includes activities to enforce compliance with requirements for maintaining licenses, registrations, and other instruments issued by the Department. Enforcement activities pertain to driver license, motor vehicle, and other transactions performed by the Department and are detailed below.

Driver License enforcement activities include:

- Financial responsibility, making sure minimum insurance requirements are met;
- Application of sanction consequences that could lead to revocation, suspension, cancellation, or disqualification, and
- Determining whether issuance is appropriate for customers requiring additional review (e.g., medical reviews).
- Ensuring that all applicants for Commercial Driver Licenses meet the minimum federal requirements for issuance.

Motor Vehicle enforcement activities include:

- Stops placed on the customer, registration or vehicle that limit the customer's ability to perform future transactions related to motor vehicles, and
- Other enforcement activities include processes such as inspections of rebuilt vehicles and mobile home manufacturers.

### 1) Driver License Enforcement Activities

#### a) Financial Responsibility

##### Overview

Financial Responsibility staff is primarily concerned with enforcing the requirements of two laws – the Financial Responsibility Law and the Florida Motor Vehicle No-Fault Law. These laws require drivers to maintain certain levels of insurance, which are monitored differently according to the requirements of their respective Statutes:

- The Florida Motor Vehicle No-Fault Law requires Personal Injury Protection (PIP) and Property Damage Liability (PDL) to be carried on each vehicle, throughout the vehicle registration period and coverage is monitored by the Department. If a person is convicted of not providing proof of insurance, the Department monitors their coverage for two years. PIP/PDL insurance is carried on the vehicle.
- The Financial Responsibility Law requires that proof of full Liability insurance, including bodily injury liability (BIL), at the time of a crash or certain violations. If a person is in a crash and found to not have liability insurance, the Department monitors their coverage for three years. Liability insurance is carried on the person and vehicle.

Insurance is enforced against the driver license and one or all of the vehicle registrations for the driver. If the required insurance is not maintained, a license is suspended and a fine of \$150 - \$500 may be required to reinstate the license.

##### Description

Files received from insurance companies are compared against the Department's driver records by a batch process.

For PIP insurance, if the insurance file shows that PIP was cancelled, the insurance file is checked again in 20 days to allow time for new or updated insurance. If PIP is still not present, a 15-day postdated suspension letter is sent to the driver and the driver must provide proof of insurance to the Department and pay a reinstatement fee, if required, when proper insurance was not maintained. (If an insurance policy cancellation (FR sanction Type 7) is received by an insurance company when PIP/PDL insurance was maintained, a driver may use the internet to clear their license. If the driver has other open FR sanctions, they will have to go into an office facility to clear the sanctions.)

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

For bodily injury liability (BIL) insurance, this is not automatically tracked on every driver. However, if a driver was in a crash and did not have BIL insurance, an FR Sanction is opened and an “SR22” is required for tracking purposes. This shows proof of BIL insurance with limits of 10k/20k/10k or higher. If insurance is cancelled, the license is immediately suspended and the driver must go to an office and provide a new/reinstated SR22 and pay a reinstatement fee. If a driver is convicted of DUI an “FR44” is required. This shows proof of BIL insurance with limits of 100k/300k/50k or higher.

Process Steps

For PIP:

- FTP Files from insurance companies are received on a regularly scheduled basis. These files contain policy holder information, insurance type and whether the policy is new, reinstated or cancelled.
- A batch process runs against the policies in the database. For each cancelled PIP insurance policy, the driver’s policy record in the database is flagged.
- At 20 days, coverage is checked again and if still not present, a letter is generated and sent to the driver.
- If the driver has not presented proof of insurance within 15 days, the license is automatically suspended on the database. Some reinstatements require the driver to go to an issuance office to pay a fine to reinstate.

For BIL Insurance:

- A driver is required to obtain a certificate of coverage limits to demonstrate compliance with increased coverage due to violations that have occurred.
- Insurance companies electronically send bodily injury liability certification data (including cancellation information) to the Department on a regularly scheduled basis.
- A batch process is run against the certification data into the database, attaching certification information to the corresponding driver record.
- Cancellations of the certificate trigger an automatic driver license suspension.

Technical Challenges

- FDLIS cannot track information on liability insurance coverage. In order to track liability, an FR sanction is created from the crash report or certain conviction and a “SR22” is required. This form indicates that proof of liability insurance is required.
- Unlicensed drivers’ insured status cannot be tracked. Because the insurance is required on a vehicle, but enforced on a license, if a registered vehicle fails to carry insurance but the driver is not licensed, it is not caught because the policy is checked against the licensed driver. It is estimated there are 350,000 instances of this.
- Commercial and fleet registered vehicles are not tracked because of workload.
- A large number of uninsured motorists are not being caught by the current system logic, leading to greater uninsured motorist risk and un-captured revenue. The solution to this issue will require a detailed analysis of the current system logic to determine where uninsured drivers are being missed. This belief is based on an analysis of various statistics:
  - There is an 8% uninsured motorist rate, equivalent to approximately 600,000 uninsured motorists at any point in time.
  - DHSMV has approximately 450,000 suspended motorists. This leaves a delta of approximately 150,000 uninsured motorists not being caught by the system.
  - Of the 450,000 suspended, 185,000 pay or will pay the reinstatement fee. The remaining 265,000 do not pay fines for various reasons, including that the motorist no longer has a registered vehicle.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- Crash related information for a car owned by a company rather than an individual is not tracked because crash data is only stored against a person.

**b) Driver Improvement**Overview

The Driver Improvement (DI) staff are responsible for reviewing sanctions imposed by TCATS and DL Records for accuracy before licenses are revoked, suspended, disqualified, canceled or reinstated. Depending upon the sanction, the DI staff will either perform a detailed review of sanctions and corresponding driving records to ensure that the correct sanction has been issued or perform a less involved quality review before sanctions are issued to drivers.

**Sanction Review Process**Description:

This is the process of reviewing sanctions imposed on drivers before communication of the penalties and requirements is sent to drivers.

Process Steps

Sanctions are input into driver records through the sanction update process. Notices to the driver are generated through a daily batch process and are then printed by a third-party printing company. If the sanction is a Driving Under the Influence (DUI), Habitual Traffic Offender (HTO), felony, violation of restriction, racing or point suspension, a full driver transcript is also printed. The hard copy documents are given to the Driver Improvement (DI) staff. The DI staff sorts by date and sanction type and, if applicable, matches to the corresponding hard copy driver transcript. For DUI, HTO, felony, violation of restriction, racing or point suspensions, DI staff review all notices to go out. This review process is in place to identify common errors that have occurred either in the input process by the courts or systematically when the sanction was entered onto the record and the notice was generated. For sanctions that are not DUI, HTO, felony, violation of restriction, racing or point suspensions, the DI staff perform a quality review to identify apparent errors such as duplicate notices.

If an error is found in the review process, the DI staff updates the Driver record and manually produces an updated notice in Microsoft Word. Notifications are held by the DI staff until the send date printed on the notification, at which point they go to the mailroom for stuffing and mailing.

Stakeholders

- DHSMV staff (Driver Improvement, DL Records)
- Law enforcement
- Third-party print vendor
- Florida drivers
- General public

Interfaces

- FDLIS
- DL Maintenance
- Microsoft Word
- Microsoft Excel
- Motorist Maintenance

Inputs

The inputs for the sanction review process include hardcopies of sanction notifications printed by a vendor after the DL Records staff has entered the convictions onto the driving record. In addition, if a sanction is a DUI, HTO, felony, violation of restriction,

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

rating or point suspension, the Department's third-party print vendor also prints and provides hardcopies of the corresponding driver records.

Outputs

- Notifications of sanctions sent out to drivers to communicate the imposed penalty and/or additional requirements to be met
- If an error is found during the review process, a correction is entered on the driver record

Challenges

- This process is in place largely to review errors caused within the system when a conviction is entered by TCATS and DL Records staff.
- Examples of some of the programming errors that the driver improvement staff are reviewing include :
  - HTO revocation order is produced; however, the actual revocation is not appearing on the driver record. This error usually occurs when there is a DUI, and two "driving while license suspended" convictions on the record where the DUI period is indefinite.
  - Conviction is received from the courts and manually entered into TCATS. However, the same conviction is also sent through the electronic sanction update process. The duplicate suspension is not identified by the system and the record shows a second conviction in error.
  - HTO revocations are calculated by conviction date. Program is issuing a revocation order for tickets outside of the five-year period. Example – conviction is 1999 and then two convictions in 2008.
  - A driver has an out-of-State DUI conviction on his record. He moves to Florida and is issued a Florida driver license for the first time. His record is subsequently received, and the system revokes his Florida license erroneously before the record is reviewed and due process is afforded.

**c) Vision/Medical Report Review**Overview

The Department's enforcement responsibilities include ensuring that drivers with medical or vision impairments are appropriately restricted from driving. This responsibility is carried out with two main processes: medical report and vision report reviews. Both processes begin with the receipt of information that may indicate that a driver's health is impairing their driving ability. The Department must then review the information received, determine whether or not the driver license should be restricted or revoked due to the impairment, implement the action, and then communicate the implications to the affected driver.

Description

The vision report review process involves periodic vision reports and "over 80" renewals. Periodic vision reports are required when information is received from medical professionals, family members, or citizens concerned about a driver's vision and how it may affect driving abilities. "Over 80" renewals are vision reports required for any driver over 80 seeking to renew their driver license.



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**Process Steps

Once vision reports are received by the Department, they are printed in hard copy and reviewed by Driver Improvement (DI) personnel. During the review process, DI personnel manually code the outcome of the vision report, which includes inputting coding to:

- Restrict or revoke the license, if necessary;
- Detail whether correspondence should be sent out to the driver and indicate which type of correspondence will be sent based upon the action taken or requirements to be met, and
- Detail follow-up actions necessary (e.g., driver to be re-examined in 12 months).

If correspondence is necessary, a letter is manually generated using Microsoft Word and sent out to the corresponding driver.

For “over 80” renewal reports, the vision reports are received through the Department’s mailroom along with renewal fees. The fees are separated from the vision reports and sent to accounting to be entered into the Cashier Receipt System (CRS). Vision reports are then sent to Bureau of Records (BOR) Processing and Issuance to be reviewed. From Processing and Issuance they are routed to Driver Improvement (DI) Vision section for approval or denial of vision reports. The review process includes the coding steps detailed above. In addition, personnel must go to the Florida Department of Health (FDOH) website to confirm that the exam was performed by an eye doctor licensed by the state of Florida. The driver transcript must also be printed to ensure that the proper restrictions exist and to determine if a follow-up eye exam is needed. DI personnel must go into CRS to refund the payments if the driver is not eligible for renewal or to note that the vision is approved and being returned to BOR for license issuance. NOTE: restrictions and exam updates are not done for periodic reviews, and there is no money attached to them.

Stakeholders

- DHSMV staff
- Driver Improvement (DI)
- Central Issuance Processing System (CIPS)
- Bureau of Records (BOR)
- Mailroom
- Field offices
- Florida Drivers
- Law Enforcement
- Medical Personnel
- General Public

Interfaces

- FDLIS
- DL Maintenance
- Motorist Maintenance
- Microsoft Word
- Microsoft Access
- Outlook/Email
- Fax
- Florida Department of Health (DOH) website
- CRS
- Electronic vision system

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**Inputs

- Hard copy or electronic eye reports
- Scanned documents collected from customers in the field
- Communication received from customers regarding eye/medical exams
- Driver transcripts

Outputs

Outputs for the “over 80” process are:

- Approved vision report so BOR can renew driver license, or
- Refund and notice of ineligibility
- Revocations for Inadequate Vision or Inadequate Field of Vision
- New periodic vision cases

Outputs for the periodic review process are:

- Driver license restrictions or revocations and corresponding notices to drivers or
- Notices that driving status will not be affected by results of the eye exam received
- Failed to submit revocations

**d) Revenue Collection & Distribution**Background

The Department is required by Florida Statute to collect hundreds of different fee types and distribute them to private organizations and various governmental entities for critical services. Revenue collection and distribution is a supporting process which accounts for \$2.4 billion dollars of revenue annually. Many government and non- governmental entities rely on the Department’s revenue collection and distribution process as a major source of income. In addition, the Department’s revenue reports are an integral part of the State’s revenue estimation process, since many entities receive funds collected by the Department. Internally, the Department relies upon reports produced from the revenue collection and distribution process to perform financial reconciliations, projections, audits, and analyses.

Revenue is collected from numerous entities and is recorded in FRVIS, FDLIS, and DL Maintenance or manually through the Cash Receipt System (CRS) system, depending on how the funds were received. Once collected, revenue is deposited, reconciled, and distributed out to the appropriate entities. The distribution process is managed in FRVIS using a batch process. The two main processes performed are payment processing and revenue distribution.

**1) Payment Processing**Description

This is the process of collecting, processing, and distributing revenue collected by the Department.

Process Steps**In-house:**

Online/Interactive Voice Response (IVR), DL, MV, data sales fees, and miscellaneous revenue is collected in-house and processed either manually or programmatically. The manual process is where accounting staff inputs transaction data into CRS. CRS then posts that data to FRVIS to include in the distribution of revenue. Programmatically, the data is automatically posted to FRVIS when the transaction occurs. Request for services with corresponding payments are mailed to the Department. These requests are received by the mailroom; the mailroom staff opens and scans the check and documentation into the vendor system according to the business unit. During this process, the remitter information from the check is captured with the check number and check amount. A control number is assigned to both the check and documents and that day’s work is transmitted to the bank for deposit. The

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

checks and documents received are batched together according to business unit and forwarded to accounting/revenue staff. Staff imports the data from the vendor system into CRS and verifies that the written amount on the check, check number, and remitter information match. Once this process is completed, the checks are removed from the batch, and the vendor-transmitted deposit can be audited and entered into the proper FLAIR accounts the next business day. The control number details the amount deposited. A Program Area (business unit) Report is attached to each batch and lists the control number, remitter name, check number, and check amount of each check received for the batch and is forwarded with the supporting documentation to the business unit. Each business unit processes the transactions according to the nature of the transaction. The transactions are recorded programmatically either in FDLIS, FRVIS, and DL maintenance or manually within CRS, Microsoft Excel, or other programs used by business units. A batch process updates the information in the FRVIS system. Once the End-of-Day report for the business unit has been closed, a separate report is printed from the CRS system. The business unit then reconciles to the End-of-Day report. If no discrepancies are found, the amount processed is posted to FRVIS so the revenue can be distributed.

**Field offices:**

DL and MV transaction fees are collected in State-run field offices. Customers come into field offices to make a payment, and transactions are processed within FDLIS or FRVIS (depending upon the transaction type) within the corresponding customer's account. In addition, payment information is entered into the cashiering portions of FDLIS or FRVIS, and money is deposited by the field office into the Department's account. Once revenue is received, it is manually posted to FRVIS and automatically sent to the batch distribution system.

**Tax Collectors:**

DL and MV transaction fees are collected by tax collectors. Customers come into tax collector offices to make a payment and transactions are processed within FDLIS or FRVIS (depending upon the transaction type) within the corresponding customer's account. Payments are recorded to the cashiering portions of FDLIS or FRVIS, and cash is deposited by the tax collector into the Department's account. Revenue recorded in FRVIS or FDLIS is automatically sent to the distribution system to be distributed appropriately. Besides in-person DL and MV transactions, tax collectors also download online MV transactions into FRVIS, which follows this same distribution process.

**FHP:**

The Florida Highway Patrol and an online vendor sell crash reports. FHP tracks the amount owed and deposits the associated fees into the Department's account. A manual reconciliation is performed by Department accounting revenue staff. Once the reconciliation is performed, the accounting staff must manually enter the revenue into the CRS system in order for the fee to be distributed by the distribution system appropriately. With online vendor sales, the Department debits the fee amount from the vendor for reported transactions, which is programmatically posted into FRVIS for distribution.

**DOR/Clerk of Court:**

The Clerks of Court collect civil penalty fines on behalf of the State from drivers with violations and performs the clearance procedures for the respective driver. The Clerks send revenue collected to DOR, and DOR is then responsible for depositing the money received into the Department's account. The Department then manually enters the amount deposited by DOR into the CRS system, and marks the funds with a deposited status. The transactions are then manually processed by the Department staff, which allows the revenue to be automatically sent to the distribution system to be distributed.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****Revenue Distribution:**

Once End-of-Day reports close for edits in the FRVIS system, the revenue received must be posted to FRVIS either through an automated process through Bank of America or manually, depending upon the mechanism in place for receiving the funds. A distribution payment flat file is created during each batch distribution cycle. The flat file is placed on a server where revenue staff can access it for further processing. Before the revenue can be distributed, staff must manually place holds on certain funds for either audit purposes or requirements attached to specific revenue streams which prohibit the funds from being disbursed. Revenue Distribution then sends the edited file to the Account Payable unit, where the report is uploaded to a custom-built web-based application (FAME) that distributes the money to the accounts and uploads distributed revenue to the State's accounting system, FLAIR. Checks or an ACH are produced from FLAIR by the State, and revenue is physically distributed to the recipients. Checks are returned to the Department and mailed to recipients. The revenue transfers are completed manually by revenue staff to in-house accounts and other state agencies.

Stakeholders

- Department staff (business units & accounting)
- Tax Collectors
- FHP
- DOR/Clerk of Court
- General Public
- Florida drivers
- Florida motor vehicle owners
- IFTA/IRP licensees/registrants
- Mobile home manufacturers and dealers
- Car dealers
- Specialty plate organizations
- State agencies
- Voluntary contribution organizations
- Local jurisdictions
- School boards
- Out-of-State jurisdictions
- County Commissions

Interfaces

- FRVIS
- FDLIS
- DL Maintenance
- CRS
- Microsoft Excel
- Mail/Fax
- FAME distribution program
- FLAIR
- Bank of America

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

<b>Process Inputs</b>		
<i>Fee Type</i>	<i>Description</i>	<i>Collection/Processing Points</i>
Online	DL transaction fees, MV transaction fees, and data sale fees collected either online or via telephone	Online fees received for DL transactions and data sales reports are processed in-house. Online fees received for MV transactions are processed by County Tax Collectors.
DOR/Clerk of Court fees	Civil fines collected by Clerk of Court	DOR/Clerk of Court fees are collected by the Clerks of Court, deposited, and then transactional information is provided to the Department for processing.
DL fees	DL transaction fees collected for driver license services such as issuance, renewal, reinstatement, and other license-related services	DL transaction fees are collected and processed by State-operated field offices, in-house, online, and by County Tax Collectors.
MV fees	MV transaction fees collected for services such as title and registration issuance, registration renewals, IFTA tax payments, licensing fees for car dealers and mobile home manufacturers and other MV related services	MV transaction fees are collected and processed by State-operated field offices, in-house, online and by County Tax Collectors.
Data sales fees	Data sales fees collected from the sale of DL and MV data to customers	Data sales fees are collected either online or in-house and are processed in-house.
Crash report fees	Crash report fees are fees relayed to the Department by FHP or online vendor for crash reports	Crash report fees are deposited directly into the Department's bank account by FHP and are then manually processed in-house. The online vendor is debited for transactions in an automated process.

Outputs

- Distributed revenue into FLAIR
- Warrants distributed to appropriate entities
- Revenue reports to perform financial reconciliations, projections, and analyses

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****d. Data Exchange****Background**

The Department maintains the data repository for Motorist Services. Numerous public and private entities enter into a formal relationship with the Department to obtain the specific data they need, both on a scheduled and ad hoc basis. Sometimes the exchange of data with other governmental jurisdictions may affect critical public safety functions such as citations, sanctions, or data on sex offenders, predators, career offender registrations, or other law enforcement information. In other instances, the data serves a business need as in the case of the insurance industry and driver records or R.L. Polk/Blue Book and bulk vehicle transaction information. In all instances, the relationship between the requestor and Department is documented with a Memorandum of Understanding (MOU) which varies dependent on the requestor, type of request, the purpose for having the data, and how it is to be transmitted. Fees associated with the sale of data and specifications regarding what data can be exchanged or sold are often set by statute. Government entities, including courts and law enforcement organizations, are exempt from paying fees. Requests are always satisfied within the confines of Federal/State/Department privacy and security considerations and with ongoing scrutiny on how the exchanged/sold data is used. Data is exchanged through direct program access and electronically.

**1) Initiation of a Data Exchange for driver license data or program access****Description**

This is the process for an entity to set up a data exchange relationship with the Department to obtain driver license data and/or gain access to the mainframe program.

**Process Steps****Establish relationship**

Request received by Department Records staff to obtain driver license data or program access.

E-mail sent to Requestor with Driver Privacy Protection Act (DPPA) Form and Questionnaire for determining eligibility of obtaining data and to provide insight and reason for its use within the Requestors organization.

**Functional Processing/Formalization of Relationship**

Documents filled out by Requestor and returned to Records staff. Documentation may include Authorization to Debit Account or that may be submitted with MOU. Records staff determine the request and contact Requestor via e-mail or phone to review how the process will proceed for providing the requested data, applicable costs, time table, and any other pertinent information. If request not approved, staff will detail the reason for the denial.

Records staff prepare a Memorandum of Understanding (MOU) and incorporate the information provided within the questionnaire by the Requestor. Attachments are completed, identifying the data requested, the source of the data within the Department, and the cost to the Requestor.

MOU and supporting documents electronically sent to Requestor. Name, address, and contact information of Requestor entered into Excel spreadsheet to document and track the mailing of the MOU from the agency. If sent with questionnaire, Authorization to Debit information also recorded.

**Functional Processing/Approvals/Contracting/Collect Revenue**

Requestor reviews, signs and returns documents to Records staff. MOU/attachments and DPPA Form forwarded to DHSMV Division of Administration (DAS)/Purchasing and Contracts for execution. Purchasing and Contracts routes the documents to various levels of management within the Department for review and signature. The Authorization to Debit Form received either with the Questionnaire or MOU is forwarded to Revenue to set up the electronic debiting process for payment for data to be released. The executed

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

MOU/attachments are returned to Purchasing and Contracts, scanned into the Electronic Repository of Executed Contracts (EREC) system with a copy electronically sent back to Records staff.

Records staff receive the electronic copy of the executed MOU, and update the Excel spreadsheet to include the contract number (MOU #) and effective date of the contract. This information is used for documentation and monitoring purposes and to ascertain when annual affirmations must be sent out.

**Data Exchange Set-Up**

If the Requestor is a governmental entity and requests access to any of the agency's web-based application programs, upon execution of the MOU, the Records staff will notify the ISA web application group. Detailed information is provided so the group can contact the Requestor to set up access, provide user IDs, passwords, and provide instructions.

For data obtained electronically in a batch process through the mainframe, whether it is a governmental or private requestor, a Work Request and Prioritization (WRAP) Request is initiated. The WRAP includes business rules that recognize the purpose of releasing the data and the benefits and possible monetary gains of implementation.

Stakeholders

- Purchasers of bulk data
- The public
- Executive Management of DHSMV
- Other governmental jurisdictions requesting data
- Law Enforcement
- Network Providers (provide access through their existing Portal in mainframe)

Interfaces

- FRVIS - vehicle registration data
- FDLIS and DL Maintenance - Driver Information
- Data Warehouse
- TCATS – citation data received electronically from the Clerks of Court or entered from paper reports
- CRASH - crash report data received electronically from law enforcement agencies or entered from paper reports
- DAVID
- Florida Residency Verification Program
- Electronic Repository of Executed Contracts (EREC) database for DHSMV contracting and purchasing (all requests)

Inputs

- Florida Driver Privacy Protection Act Form (DPPA)
- Data Access Request Form

Outputs

- Executed MOU and attachments
- Debit authorizations
- Completed DPPA Form
- Data requested
- HAVA – Voter Registration (DOS)
- Donate Florida – Organ donation registration

Challenges

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- Requested data not easily accessible, causing requestors to have to wait a long time to get their data, delayed revenue, and disgruntled customers
- System/technology not in place to track appropriateness of how data is being used by Requestor
- Batch process is cumbersome and time consuming
- No self-service opportunities for requestors or staff to satisfy data requests without going through ISA
- Staff frequently must “tweak” data once it is pulled to fit into what was requested
- More staff required to provide the critical oversight to ensure data not being misused and DPPA rules are being met
- Data requests must go through the normal WRAP business process

**e) Reporting**Background

Reports are generated by many areas throughout the organization and are performed by these business units:

- Information Systems Administration - Warehouse and Reporting, FRVIS, FDLIS, Information Exchange Services (IES), Collaboration Services, Integration Services, Database
- Strategic Support Services (MV)
- Driver License Statistics unit
- Crash Records unit
- Office of Performance Management
- Driver Education
- Revenue

These entities generate reports for different purposes, including general inquiry, requests for a single driver or motor vehicle record, and generating data requests for entities with MOUs with the Department.

**1) Performance Reporting**Background

The Office of Performance Management tracks and reports on selected Department performance measures and standards in the Executive Director’s Annual Performance Contract with the Governor and Cabinet. The performance measures and standards are aligned with the Department’s Annual Strategic Plan, and are grouped under the four primary goals of Public Safety; Reliable Service Delivery; Leveraging Technology; and Talent Creation and Development. Actual performance is measured and reported to the Governor and Cabinet quarterly and is available online through the Department’s intranet and internet. The Office also monitors the key performance indicators included in the Department’s Long Range Program Plan (LRPP).

Process Steps

Each performance measure is carefully defined (including calculation methodologies) and specific data sources identified. To ensure the accuracy of the performance data, the Department’s Inspector General reviews the definition forms and attests to the reliability and validity of this information. Monthly, the Office of Performance Management receives information and data from the business units for each performance measure. Such information is provided via Excel spreadsheets or by direct access into specific data sources (e.g., data warehouses). This information is summarized and recorded by the Office of Performance Management into a SharePoint database that is the backbone of our dashboard.

Stakeholders



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- Department leadership, managers, and members
- Florida Governor and Cabinet
- Florida Legislature (members and staff)
- Tax Collectors
- Law enforcement
- General public

Interfaces

- FDLIS
- FRVIS
- SharePoint
- Microsoft Excel
- Computer Aided Dispatch
- SmartCop Mobile Forms
- PeopleFirst
- QMatic
- Crash Records Database
- iLearn Training System

Inputs

- Performance data received from the business units

Outputs

- Information for reporting such as:
  - Department Intranet and Internet
  - Long Range Program Plan
  - Quarterly Performance Reports
  - Annual Performance Report

Challenges

## Technical Challenges

- There is no mechanism in place to obtain statistical data directly from the current systems for performance reporting. The Department has developed workarounds for gathering statistical data needed for various reporting purposes.
- The current process does not have the desired functionality to provide users with timely data in its most useful form (e.g., trend analyses or demographic/geographic details).

**f) Audit Functions**Background

Auditing functions occur across the organization and are critical to evaluating compliance in various program areas. Auditing encompasses the proactive selection of sample items to be reviewed or inspected, requesting corresponding documentation and/or scheduling visits, performing testing procedures, and then recording audit results, which begins the corrective action process. Program areas with audit functions include:

**1) Quality reviews performed over the Tax Collectors**

The audits that occur in the Department either have an internal or external focus, designed to meet different objectives depending upon the focus of the review. Quality reviews performed on tax collector transactions should assess internal business integrity. Although the objectives for each audit performed vary depending upon the business area, each audit function entails the same core activities. However, the detailed business processes vary greatly because of the disparate technologies used across the Department to record audit processes.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****2) Quality reviews performed over DL transactions**Overview

Periodic quality reviews of driver license transactions are performed by the Quality Assurance (QA) section within Motorist Services to make sure that driver license transactions are being processed according to Federal, State and Department requirements by tax collectors and Department staff in field offices. The review process is performed either over a judgmental sample selected based on information received or over a random sample of transactions covering a specific timeframe. The quality review process is tracked manually within Microsoft Excel spreadsheets maintained on a SharePoint site. Once samples are selected and the samples have been assigned to a reviewer, the review is performed, documented, and communicated through the chain of command for the respective program area. Once communicated, the respective program area's chain of command handles necessary corrective actions and/or communicating results to the office or personnel responsible for the transaction.

Reviewers are experienced staff having previously worked in the field and with extensive knowledge about the requirements for processing DL transactions. Therefore, institutional knowledge is the basis of the criteria utilized for reviewing for compliance. However, reviewers also reference the DL examiners manual on the Department's intranet to answer process-related questions.

Description

This is the internal review process of reviewing driver license transactions performed by the Department or tax collectors for compliance with applicable requirements.

Process Steps

Sample selection is performed in two ways. If the QA section receives information regarding potential fraud or questionable transactions, samples are judgmentally selected to focus on questioned transactions. The QA section requests a report containing specific transactions pertaining to the information received regarding the questioned transactions from DL Records Statistics section. The Statistics staff will extract the specific population from the FDLIS system, export the listing into Microsoft Excel, and then provide it back to QA in an email. Once the population is received, the QA section assigns reviewers to the transactions by email and puts a Microsoft Excel tracking sheet in the SharePoint site.

For periodic reviews not triggered by information received, the reviewer first determines the nature of the review to be performed including the transaction type and date range. To make this determination, the reviewer must examine the sample tracking spreadsheet in SharePoint to make sure that review efforts are not duplicated and coverage is given to certain transaction types and date ranges. Once the focus of the periodic review is determined, the reviewer accesses reports established by ISA and are available on the SharePoint site. Reports available include :

- DL Licenses Issued with No Fee
- DL Issued with citizenship change
- DL Issuances voided and not reissued

Once the desired report is opened in SharePoint, the reviewer must enter the desired date parameters for the transactions. The report is then created and exported into Microsoft Excel. The reviewer randomly selects a sample of transactions to review from the population received from the report. The samples are tracked in a Microsoft Excel tracking sheet kept on the SharePoint site.

**Review/Testing**

Once samples have been selected and assigned to reviewers, the review process begins. Reviews are performed for each DL transaction selected by accessing the transaction in the DAVID system. The reviewer logs into the DAVID system and searches by DL number, then sorts the listing of corresponding transactions by date to find the specific transaction to be

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

reviewed. The reviewer then inspects the transaction detail including attached scanned documents to test for compliance with Federal, State, and Department requirements. Scanned documentation may include any of these types of documents:

- Birth certificate;
- Passport;
- Proof of social security number;
- Proof of legal status;
- Proof of residence;
- Proof of name change (marriage certificate or court papers);
- FDLE Predator/Offender paperwork, and
- Back up for no fee replacements.

During the review process and depending upon the transaction processed, the reviewer may also need to access other systems or resources including:

- FDLIS to access driver records;
- U.S. Citizenship and Immigration Services Verification Information System (USCIS) & DHS website to verify legal presence & documents;
- ADLTS to verify and review written driving test results;
- CICS to verify payments of citations, and
- Hot Map Application used to review DL transactions in real-time and history.

**Results & Communication**

Once review of a transaction has been performed, the results are added to the comments field in the tracking spreadsheet in SharePoint. If issues were noted in the review, the reviewer must determine if law enforcement should be involved. If the review results demonstrate the possibility of fraud, the results should be provided to law enforcement. Here, the reviewer gathers the backup documents pertaining to the sample and submits them to FDLE investigators. If law enforcement need not be involved, the results are communicated to the corresponding Bureau Chief. From that point, the review process is over for the QA section. Bureau Chiefs handle necessary corrective actions and/or communicating results to the office or personnel responsible for the transaction, as needed.

Stakeholders

- Motorist Services
  - Quality Assurance section staff
- Department management
- Tax Collectors & staff
- ISA
- General public
- Florida drivers
- Law enforcement
- Driver Improvement
- DL Records
  - DL Statistics unit
  - DL Processing & Issuance unit

Interfaces

- FDLIS
- DAVID
- CCIS (Comprehensive Case Information System)
- ADLTS
- Email/Outlook
- Microsoft Excel
- SharePoint

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- USCIS & DHS
- Hot Map HQ use allows for connection to local DL servers
- IID - Ignition Interlock Devices
- Sexual Offender/Sexual Predator data (FDLE)

Inputs

- Records of driver license transactions

Outputs

- Completed tracking spreadsheet in SharePoint detailing the results of the QA review performed
- If results are communicated to law enforcement, hardcopies of backup documents reviewed during the QA process are provided to FDLE investigators
- Results from reviews communicated by email to Bureau Chiefs
- Communication to business unit from the Bureau Chiefs regarding review results and corrective action requirements, as necessary

Challenges

- The sample selection process has many limitations because of the lack of detailed reports available from the FDLIS systems. There are a few reports, as developed by ISA, which are available on SharePoint and can be run to obtain various populations.
- Records reviewed during the quality review process within DAVID are not updated real-time and therefore, may not include the most up-to-date data. As transactions are processed by Tax Collector staff and Department staff in field offices in the FDLIS system, batch processes are run nightly to upload the day's transactional data from local databases to the main DL database. The QA section has developed a work around process to review data and transactions in a real-time capacity. As needed, the QA staff uses hot mapping capabilities to connect to local servers in order review real-time transactional data.

**3) Quality Reviews Performed on Motor Vehicle Transactions**Overview

Periodic quality reviews of motor vehicle (MV) transactions are performed by the Quality Assurance (QA) Program within Motorist Services to ensure MV transactions are processed according to Federal, State and Department requirements by tax collectors, license plate agencies and Department Regional field staff. The review process is performed either over a judgmental sample selected based on information received or over a random sample of transactions covering a specific timeframe. The quality review process is tracked manually within Microsoft Excel spreadsheets maintained on a shared drive. Once samples are selected and the samples have been assigned to a reviewer, the review is performed, documented, and communicated through the chain of command for the respective program area. Once communicated, the respective program area's chain of command handles necessary corrective actions and/or communicating results to the office or personnel responsible for the transaction.

Reviewers are experienced staff having previously worked in the field and with extensive knowledge about the requirements for processing MV transactions. Institutional knowledge and written policy and procedures are the basis of the criteria utilized for reviewing for compliance. The DMV Procedures Manual on the Department's intranet containing all MV policies and procedures is used in QA reviews.

Description

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

This is the internal review process of reviewing MV transactions performed by tax collectors, license plate agencies and Department Regional field staff for compliance with applicable requirements.

Process Steps

The sample selection is performed in two ways. If the QA Program receives information regarding potential fraud or questionable transactions, samples are judgmentally selected to focus on questioned transactions. The QA Program requests a report containing specific transactions pertaining to the information received regarding the questioned MV transactions from the Department's Statistics Unit. The Statistics Unit will extract the specific population from the Florida Realtime Vehicle Information System (FRVIS), export the listing into Microsoft Excel, and then provide it back to the QA Program in an email. Once the population is received, the QA Program assigns transactions to reviewers based on availability.

For periodic reviews not triggered by information received, the reviewer first determines the nature of the review to be performed including the transaction type and date range. Once the focus of the periodic review is determined, the QA Program requests a report containing specific transactions pertaining to the information received regarding the MV transactions from the Department's Statistics Unit. The Statistics Unit will extract the specific population from the FRVIS system, export the listing into Microsoft Excel, and then provide it back to the QA Program in an email. Once the population is received, the QA Program assigns transactions to reviewers based on availability.

Review/Testing

Once samples have been selected and assigned to reviewers, the review process begins. Reviews are performed for each MV transaction selected by accessing the transaction in FRVIS, Driver and Vehicle Information Database (DAVID) and the National Insurance Crime Bureau (NICB). The reviewer inspects the transaction detail including attached scanned documents to test for compliance with Federal, State, and Department requirements.

Results & Communication

Once a transaction has been reviewed, the results are added to the spreadsheet, with any additional comments necessary. If the review results demonstrate the possibility of fraud, the results should be provided to law enforcement. The reviewer gathers the backup documents pertaining to the sample and submits them to FHP investigators. If law enforcement does not need to be involved, the results are communicated to the appropriate Tax Collector or License Plate Agency management. Any necessary corrective actions are distributed to appropriate Department personnel to handle.

Stakeholders

- General public
- Florida drivers
- Department management
- Tax Collector staff
- License Plate Agency staff
- ISA
- Division of Motorist Services
  - Quality Assurance Program staff
  - Bureau of Dealer Services
  - MV Fraud Unit
- Law enforcement

Interfaces

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

- FRVIS
- DAVID
- NICB
- Email/Outlook
- Microsoft Excel

Inputs

- Records of MV transactions

Outputs

- Completed spreadsheet detailing the results of the QA review performed
- If results are communicated to law enforcement, hardcopies of backup documents reviewed during the QA process are provided to FHP investigators
- Communication to appropriate management regarding review results and corrective action requirements, as necessary

**2. Assumptions and Constraints**

The Department operates in a regulated environment and is subject to numerous State and Federal statutes and rules, and professional standards relating to data protections and integrity. These requirements must be carefully considered during requirement analysis and eventual system selection.

**C. Proposed Business Process Requirements****1. Proposed Business Process Requirements**

The Department is looking to re-engineer antiquated processes and technology used for driver licensing, motor vehicle titling, registration, and various other systems. Current technology is a barrier to the Department fully implementing its plans.

The proposed system must provide for greater data availability, integrity and accountability and the flexibility to meet future needs. This re-engineering will result in reduced costs and aid in fully capturing revenue for the State of Florida. These new systems will reflect re-engineered processes with new functionalities that are easier to use, maintain, and enhance.

Detailed processes will be designed that reflect the Department's consolidation of functional responsibilities and the expected procedural changes that will result from technical barriers being removed. The revised processes, overall objectives and data standards developed by the Division, will be the basis for future detailed requirements and selection of a specific solution.

**2. Business Solution Alternatives**

The Department has investigated five solution alternatives, including three varieties of commercially available systems (off-the-shelf, modifiable off-the-shelf, and other State transfer) which were combined because of their similarities. In addition, custom build and retaining existing system alternatives were also considered.

**a. Maintain / Enhance Current System**

There are significant shortcomings with this approach. The current system's capability of supporting new functionality is limited and there are considerable costs related to system maintenance and upgrades today. Based on current system complexity and the level of effort required to modify relatively minor components, the Department believes the current system is

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

incapable of being modified to support the required business functionality. Purchase and Configure a Commercially Available Solution.

This alternative requires the Department to go through the State's purchasing process to procure the commercially available solution that most closely aligns with the needs of the Department and contract with a vendor to configure and / or customize the solution. As part of the purchase of any commercially available solution, some business processes must be modified to accommodate the system's approach.

While each state must provide motorist services, they each have different laws and procedures. Any out-of-the-box solution must be customized to suit the needs of the State of Florida. Based upon research with the American Association of Motor Vehicle Administrators, completing this customization has been problematic for many states. Cost disputes associated with customization has led to litigation and has caused huge delays in the project schedules. Although states share the same mission of providing driver licenses, identification and registering and titling vehicles, the details are different.

States have also had disputes with vendors concerning overseas resources. Some firms want to perform a portion of the project work overseas which has been opposed by some state DMVs. These disputes have led to the termination of contracts and project delays. In some cases, multiple contracts with multiple vendors have been canceled. Some states have also found scalability and seamless integration into current operation to be difficult.

**b. Custom Development**

This alternative requires the Department to procure a vendor and/or engage in-house resources to design, develop, and deploy a solution. A custom-built technology environment can be designed, developed, and deployed to meet the specific needs of the Department. A commercial available solution may be used for smaller components in the re-engineering in which the Department may not have the required expertise.

Additional advantages of this approach include:

- System will be built to integrate easily with other third-party systems and existing systems
- Minimizes the cost associated with upgrades and customization of commercial software
- Features built that are unique to current business processes
- Subject matter experts provide input on developing the system
- Higher quality of support for the software dealing directly with developers in-house

**c. Purchase and Configure a Commercially Available Solution**

This alternative requires the Department go through the State's purchasing process to procure the commercially available solution that most closely aligns with the needs of the Department and contract with a vendor to configure and / or customize the solution. The commercially available solution must also be integrated with 3rd party applications and point solutions to meet the Department's needs. Several existing components of the current technology environment (e.g. web services) may also be configured with the commercially available solution. Some business processes must be modified to accommodate the system's approach, though the majority will be met by, or configured to meet, the existing core functionality.

This alternative allows the Department to engage in a competitive procurement process, buy commodity functionality, take advantage of industry leading practices, and still meet the unique needs of Florida. Cost, schedule and outcome are less customized by more predictable.

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### 3. Rationale for Selection

To select the option communicated below, potential solutions were evaluated against their likelihood to deliver the necessary functionality, risk in implementing, estimated cost, and estimated implementation timeframe. Migration of most issuance services to tax collectors is completed, and the Department has implemented its revised organizational structure. Also a great deal of consideration was given to the lessons learned from other states that have embarked on efforts to re-engineer all or portions of their legacy systems. The Department also consulted with AAMVA for their detailed knowledge of member jurisdictions' activities.

### 4. Recommended Business Solution

The Department recommends replacing some of the older legacy applications and back-end mainframe-based processes with custom developed software systems. The Department will continue to explore commercial solutions for system components that are reliable and have a history of successful implementations. These solutions will be purchased and utilized in areas where the Department does not have expertise. Custom development gives the Department the best chance to implement a system that will be beneficial to all stakeholders. This approach will ensure that the system will be built according to the requirements, laws, rules, and policies of DHSMV and the State of Florida. Risk is associated with any project; however, management of risk, regardless of the approach, will require diligent project management and careful requirements analysis. The Department is confident that custom development provides the best opportunity for success.

## D. Functional and Technical Requirements

### 1. Functional Requirements

The following high-level business requirements are aligned to the functions described in Section II.B. The Department's new organization is aligned to these functional areas and the Department is working towards standardization. Section II.C presents the function-specific requirements based on the business objectives and challenges previously identified. Section II.C also includes general requirements that should be applied to all functional areas and include Departmental standards and expectations.

The Departments' new organizational structure for the Division of Motorist Services consists of eight Bureaus all of which perform Motor Vehicle activities.

- The **Bureau of Commercial Vehicle and Driver Services** handles the administration of the International Registration Plan (IRP) and the International Fuel Tax Agreement (IFTA), including the issuance of operating credentials, processing quarterly IFTA tax returns, and auditing IRP registrants and IFTA licensees. The Bureau is also responsible for Commercial Driver License (CDL) compliance and support, as well as the certification and oversight of CDL skills tests Third Party Administrators and Testers.
- The **Bureau of Dealer Services** licenses Florida motor vehicle, mobile home, and recreational dealers, manufacturers, importers and distributors, enforcing the statutory requirements of all. The bureau investigates complaints against motor vehicle, mobile home and recreational vehicle dealers and takes appropriate corrective action when needed. The Bureau conducts different types of vehicle identification verifications so citizens can title and register their vehicles in our state. The Bureau is also responsible inspecting the construction and installation of Manufactured Homes; and for the inspection of rebuilt and assembled from parts vehicles to detect invalid odometer readings, stolen vehicles, and stolen vehicle parts. The bureau detects and works to prevent unlicensed dealer activity.
- The **Bureau of Issuance Oversight** is responsible for developing the policies and procedures, which govern the issuance processes for driver licenses, identification cards, titles and registrations. The Bureau also includes the Systems Evaluation Unit, which conducts User Acceptance Testing for all Department technology projects and efforts. Additionally the Bureau oversees the specialty license plate and voluntary contribution programs.
- The **Bureau of Motorist Compliance** enforces compliance with Florida's Financial Responsibility and Motor Vehicle No-Fault Insurance Laws and Applying motor vehicle stops. The Bureau is also responsible



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for providing assistance related to Driver Sanctions, DUI programs, Ignition Interlock Device Services, Medical and Vision cases, Driver License Testing Third Party Administrators, Florida Rider Training Program (FRTP), Driver Education Licensing Assistance Program (DELAP), Automated Driver Licensing Testing System (ADLTS), Commercial Driving Schools, DL handbooks, teen and elderly driver education.

- The **Bureau of Customer Service** provides customer services for calls, email and written correspondence for driver license and motor vehicle customer inquiries.
- The **Bureau of Records** ensures all records, in all formats, are efficiently and confidentially managed, retained and destroyed in compliance with agency and legal policies and regulations. This bureau is also, responsible for data exchange and ensures compliance with driving laws.
- The **Bureau of Motorist Services Support Office** provides quality assurance reviews and audits of driver license and motor vehicle transactions for compliance and also provides support for tax collector licensing agents. The Document Validation Unit and the Driver License and Motor Vehicle Fraud units are also included in the Motorist Services Support Unit.
- The **Bureau of Credentialing Services** handles issuance of all Department issued credentials. This includes, but is not limited to, driver licenses, identification cards, motor vehicle titles and registrations, as well as confidential driver licenses and license plates for law enforcement.
  - a. **Motor Vehicle Registration Issuance System**
    - The system will support “flags” on the registration level to indicate registration stops.
    - The system will support the random selection of transactions for auditing Heavy Vehicle Use Tax.
    - The system will provide the ability to process registration transactions; including Original, Renewal, Transfer, Duplicate, Replacement and Correction.
    - The system will provide the ability to reserve a personalized plate, issue a personalized plate and re-issue a relinquished personalized plate.
    - The system will provide the ability to surrender a license plate.
    - The system will provide the ability to cancel a registration.
    - The system will provide the ability to issue front end plates.
    - The system will provide the ability to issue sample plates.
    - The system will provide the ability to issue Disabled Person Parking Permit Placards; including Original, Renewal, Subsequent, Duplicate, Replacement and Correction.
    - The system will provide notification enhancements for the automatic 10 year license plate replacement.
    - The system will provide the ability to recreate a registration.
    - The system will provide more data regarding the Initial Registration Fee being previously paid/exempt.
    - The system will provide the ability to link mobile home registrations for double wide/triple wide.
    - The system will simplify the process for reprinting the registration when there is an error with the decal.
    - The system will provide the ability to print a High Occupancy Vehicle (HOV) decal.
    - The system will support improved methods for capturing and validating proof of insurance.
    - The system will provide the ability to track and maintain Fleet renewal processing.
  - b. **Motor Vehicle Titles Issuance System**
    - The system will support receipt and capture of information from third party sources, such as the National Motor Vehicle Title Information System (NMVTIS), which allows the titling agency to instantly and reliably verify information on the paper title with electronic data from the state that issued the title.
    - The system will support indicators on the motor vehicle record to identify motor vehicle stops.
    - The system will provide the ability to process title work; including Original (New, Used), Transfer and Duplicate.

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- The system will provide the ability to maintain lien information on titles, including child support liens and wrecker liens.
- The system will provide the ability to title Certificate of Destructions, Repossessions, and Derelict Vehicles.
- The system will support Electronic Lien and Title (ELT) program.
- The system will provide the ability to cancel a title.
- The system will provide the ability to reinstate a title.
- The system will provide the ability to modify a title.
- The system will provide the ability to recreate a missing title.
- The system will provide the ability to print an electronic title.
- The system will provide the ability to preview the title receipt prior to printing, to reduce the number of voided transactions.
- The system will provide the ability to link mobile home titles for double wide/triple wide.
- The system will provide the functionality for a fast title to be issued/printed after the title transaction is complete without the original request.
- The system will provide the ability to mark the title Sold.
- The system will provide the functionality to perform and process vehicle inspections.
- The system will provide the ability to issue Off-Highway Decals.
- The system will provide the ability to track the submission and receipt of files processed by ELT providers.
- The system will provide the ability to verify that all required documents are submitted for the issuance transaction.

**c. Dealer Services Systems**

- The system will support licensing and monitoring commercial entities.
- The system will support motor vehicle, manufactured home and recreational vehicle manufacturers, dealers, importers, distributors, and manufactured home installers.
- The system will support submission of a business license application online.
- The system will enable a verification process of dealer insurance as it relates to garage and surety bonds.
- The system will support creation of inspection checklists and store inspection results from specific vehicles, businesses or installations.
- The system will provide a dealer status check to allow customers to inquire on complaints, violations and license status.
- The system will support an online Consumer Complaint system that will be in plain language and will include Manufactured homes construction and installation programs.
- The system will alert GHQ of High Risk Dealers.
- The system will support the fingerprint system interfacing with FDLE.
- The system will support Risk Based Auditing (Record Inspections).
- The system will support an automated inspection audit for scanned deal jackets.
- The system will support uploading and storing documentation online.
- The system will support the auditing of misuse of dealer licensing (curbstoning), dealer plates, transporter plates and garage liability insurance.

**d. Customer Portal**

- The system will provide customers with online Motor Vehicle self-services for registration and title services including heavy trucks, dealer/manufacturer and transporter plates.
- The system will allow customers the ability to request a different license plate design for their vehicle.
- The system will allow customers the ability to order a personalized plate online.
- The system will allow customers the ability to update insurance information online.
- The system will provide a simplified process for military personnel stationed out-of-state to submit supporting documentation for processing title and registration transactions.

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- The system will provide the ability to track the status of online transactions.
- The system will provide the ability for customers to complete Department forms online and submit them for processing.
- The system will support online records request and payment for individual records (e.g. Titles and Certified records.).
- The system will modify MVCheck to include the stop agency detail information.
- The ability to track the processing of online transactions from the beginning to end.

**e. Commercial Vehicle Services**

- The online system will support the ability to complete and submit forms online, including data exchange application, IFTA tax returns, and dealer license application.
- The system will support receipt and capture of information from third party sources, including insurance companies and PRISM (AAMVA).
- The system will support tracking of insurance coverage for commercial level coverage.
- The system will support “flags” on the registration level to indicate registration stops.
- The system will support indicators on the motor vehicle record to identify motor vehicle stops.
- The system will provide the ability to process a New IRP Carrier Account.
- The system will provide the ability to process Renew IRP Fleet Transactions.
- The system will provide the ability to process IRP Supplemental Transactions.
- The system will provide the ability to calculate the fees for all IRP transactions.
- The system will provide the ability to process a New IFTA Account.
- The system will provide the ability to issue IFTA Decals.
- The system will provide the ability to process IFTA Quarterly Tax returns.
- The system will provide the ability to process Amended IFTA Tax Returns Transactions.
- The system will provide the ability to calculate the fees for all IFTA transactions.
- The system will provide the ability to perform end-to-end audit functionality.
- The system will provide the ability to validate commercial vehicle insurance.
- The system will provide the ability to perform administrative functions for maintaining and configuring the system.
- The system will provide the customer with online IRP self-services.
- The system must be CVISN and PRISM compliant.
- The system must be able to interface with Carrier Tax Systems.
- The system will provide the ability for law enforcement to inquire and validate IFTA and IRP credentials.
- The system will provide the ability to issue temporary permits.

**f. Inventory**

- The system will provide the ability to track and manage issuance inventory, including tags, labels, decals, and title paper.
- The system will provide the ability to manage and refresh inventory in real-time.
- The system will provide the ability to transfer inventory locally when inventory must be moved or becomes obsolete.
- The system will provide the ability to request and receive inventory from the Department and between agencies.
- The system will provide the ability to notify the Department and the affected office when inventory is low and automatically submit orders for pre-authorized quantities.
- The system will provide the ability to inquire on inventories using expanded search capabilities.
- The system will provide the ability to view inventory statewide, or by county and/or agency.
- The system will provide the ability to automate the process for managing the configuration of inventory tag ranges.

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**g. Data Exchange**

- The system will support the transfer and receipt of large data files to third parties.
- The system will support access by third parties to issuance and compliance data. This access will be restricted according to user role and permissions to appropriate information.
- The system will support auto-redaction of Personally Identifiable Information (PII) when generating data requests.
- The system will support definition and storage of standard data pulls and permit business users to execute, or to modify and store as a new template.
- The system will support auto routing and central printing of paid records for mailing.
- The system will apply business rules to received data and update records accordingly.
- The system will provide a new interface to pull multiple motor vehicle records in bulk.

**2. Technical Requirements**

**a. System Architecture Context Diagram**

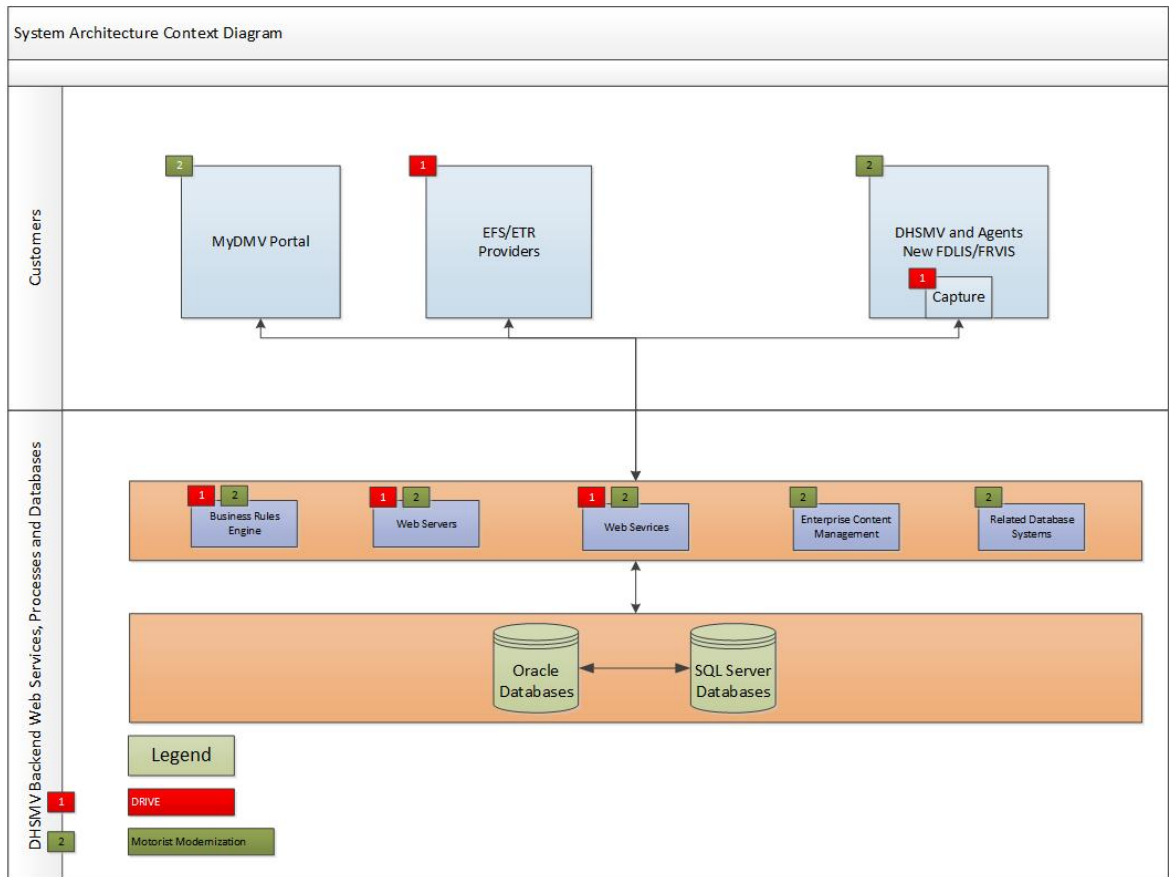


Figure 1-3 – System Architecture Context Diagram

**b. System Architecture Model**

The System Architecture for the modernized DHSMV systems relies on a modern Service Oriented Architecture (SOA) which consists of four foundational pillars to be implemented over the life of the entire Motorist Modernization effort. Current DHSMV systems were developed in a piecemeal architectural fashion over many years. By creating a foundational model, the Department can assure that future development is based upon the same set of standards and

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

practices. This will ensure that the systems developed will communicate with each other in a straightforward manner and that new elements and systems can be seamlessly integrated with existing elements and systems. The four pillars of this architecture are:

1. RESTful (Representational State Transfer) Application Programming Interface (API) – A RESTful API is the core pillar to all other functionality. All communication with Department services, processes, and databases will be through this API. This is a web service-based model widely used throughout the IT industry that will provide the most flexibility in allowing access by external vendor and partner systems.
2. Business Rules Engine – A business rules engine provides a repository for the Department to house business rules in one place allowing the reuse of the rules across multiple systems without recoding the rules in each system.
3. Internal Department Databases – Consolidation of Department databases will greatly increase the efficiency and usability of the modernized systems. There are multiple instances of customer information across systems. By consolidating customer records into one database, the Department will have a consistent record of the customer which will be the same across the services and systems.
4. Enterprise Content Management (ECM) – Since the modernized systems will rely on many documents provided from different sources, an Enterprise Content Management system is needed. This will provide a consistent, repeatable interface to store and manage documents. Implementation of an ECM is planned in a later phase of Motorist Modernization and will greatly increase the Department's ability to store, retrieve, manage and disseminate documents in an efficient manner.

A RESTful API is the core pillar to all other functionality. All communication with Department services and processes will be through this API. RESTful web services will connect with a Business Rules Engine.

The RESTful API will also communicate directly with the databases when the required data cannot be accessed through the Business Rules Engine. In addition, the RESTful API will communicate with the Enterprise Content Management System for document storage and retrieval. Below is a diagram of the interrelationships of the pillars and the access points for the system.

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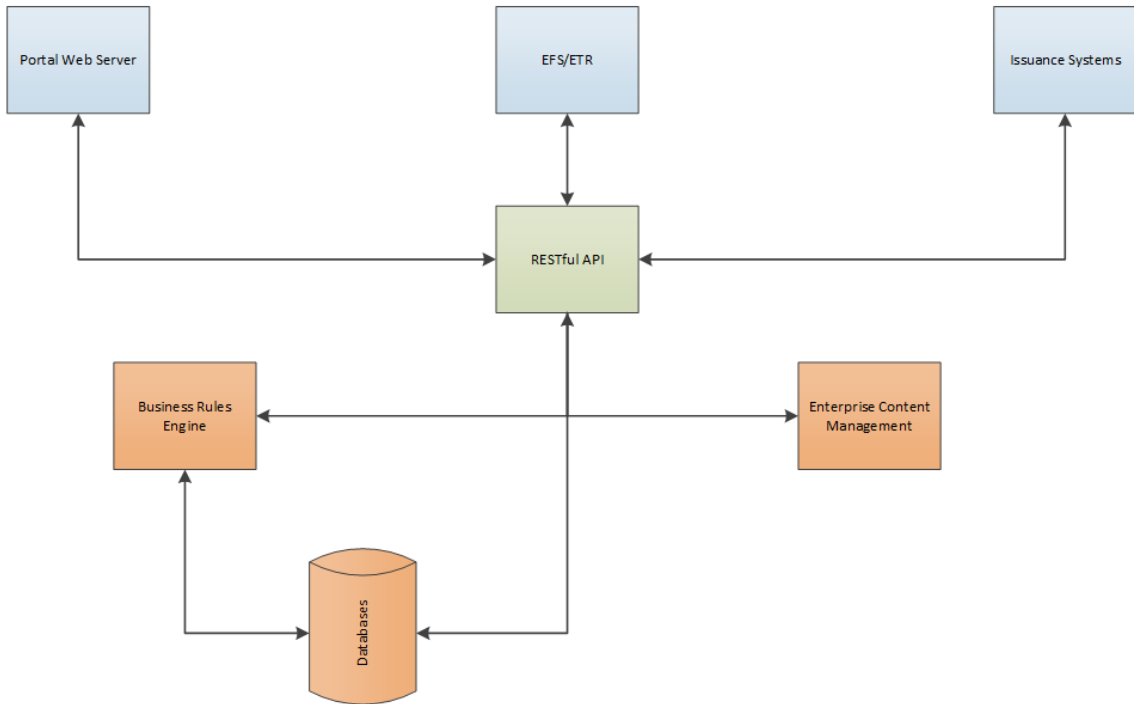


Figure 1-4 – System Architecture Model

**c. Overall Architecture Considerations**

1. *Security Strategy* - There are several security components to the modernized system. All communication between endpoints will use Hypertext Transfer Protocol Secure (HTTPS) encryption. Access to the databases will be through parameterized stored procedures. Authentication will be marshalled through a Federated Security Model. Authorization will be based upon application roles. Sensitive data will be appropriately encrypted where necessary and direct access to data in the databases will be managed as needed .
2. *Performance Requirements* - Most communication with the web services in the system must be based upon a response time of 2 seconds or less. If there is a need for longer running responses, they will be minimized.
3. *Accessibility* - All systems constructed by DHSMV with a User Interface (UI) component designed to comply with State and Federal guidelines.
4. *Concurrent Users* - At any time during a workweek there could be 2,000 to 3,000 concurrent users of the systems and web services.
5. *Disaster Recovery* - All data in the modernized systems and web-based access will comply with and be part of the Department’s Disaster Recovery Plan.

**d. System Architecture Component Definitions**

The **Architecture Component** Definitions section provides narrative describing and explaining each architecture component in the System Architecture Model, and identifies specific elements that comprise that component in this system. The following are examples of architecture components and elements:

Architecture Component	Component Elements
RESTful API	RESTful Web Services written by DHSMV

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Business Rules Engine	Service Based Rules Engine Centralized Rules Repository
Internal Department Databases	Database Management Systems (DBMS)
Enterprise Content Management	Document Management System
Web Servers	Windows-based web servers
Issuance Systems	Motor Vehicle Issuance

Table 1-3 – System Architecture Component Elements

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## III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	All fees associated with motor vehicle transactions are computed within a common fee engine.	In the new system, no access to the old fee routines will be programmed. The new system will compute all motor vehicle associated fees using the new fee engine.	Florida drivers Tax Collectors DHSMV	06/23
2	Increase customer self-service by providing additional motor vehicle services through the MyDMV portal.	The increase in the number of motor vehicle-related service options provided in the MyDMV portal. There are limited self-service options available through Virtual Office.  Compare number of service requests provided online - versus those provided by tax collectors, state offices and private tag agencies.	Florida drivers Tax Collectors DHSMV Private Tag Agencies	06/23
3	Provide additional audit tracking and transaction accountability, through improved history and enhanced reporting capabilities.	Motorist Services will have consolidated tools to review and analyze system activity.	DHSMV Federal Government Law Enforcement QA for Tax Collectors and DHSMV	06/23
4	Reduce transaction processing time.	Streamline data entry screens and improve re-use of data.  The Department will sample transaction processing times and the average the length of time it takes to process on the old system versus the new system.	Florida drivers Florida motor vehicle owners Tax Collectors DHSMV	06/23
5	Improve customer service by providing a comprehensive view of their record.	The Department will sample customer batch transactions to determine the types of transactions processed in a single visit.	Florida drivers Florida motor vehicle owners Tax Collectors DHSMV	06/23



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6	Improve timeliness of the data exchange process.	The Department will reduce manual intervention and measure the time from receipt of request to completion.	Businesses Florida motor vehicle owners DHSMV	06/23
7	Improve insurance compliance for commercial and fleet vehicles.	The Department will be able to link vehicles to commercial policies, and compare previous compliance rates with new rates after system implementation.	Law Enforcement Insurance Companies Florida motor vehicle owners DHSMV Florida commercial drivers	06/23
8	Improve timeliness and automation of IFTA/IRP audit processing.	The Department will be able to compare previous volume of audits completed to new volume after system implementation.	DHSMV IFTA/IRP Carriers	06/23

## SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

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

## A. Benefits Realization Table

The Benefits Realization Table describes the benefits which accrue from the Motorist Services Modernization program implementation, including estimated values computed for the tangible benefits. The benefits are assessed against business conditions and are conservatively estimated.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	The new Motor Vehicle issuance system is estimated to take significantly less time to process transactions. These gains in efficiency will save customers approximately 575,000 hours waiting in line. This time is estimated have a value in excess of <b>\$11.5 million</b> to our customers.	Customers	For every vehicle registration transaction time reduced, customer wait times are reduced. As these transaction types are very common all customers will see time savings.	DHSMV measures transaction and wait times in its offices.	FY 2022-23
2	The new Motor Vehicle issuance system is estimated to take significantly less time to process transactions. These gains in efficiency will save customers approximately 195,000 hours waiting in line. This time is estimated have a value in excess of <b>\$4.0 million</b> to our customers.	Customers	For every title transaction time reduced, customer wait times are reduced. As these transaction types are very common all customers will see time savings.	DHSMV measures transaction and wait times in its offices.	FY 2022-23
3	Savings achieved through the implementation of on-line systems, reducing the travel costs and dedicated resources to maintain and service IT servers throughout the state. Cost to	DHSMV	Elimination of servers throughout the state will effectively reduce equipment and maintenance costs in addition to the dedicated staff resources and travel that are required in order to maintain servers/	DHSMV measures personnel costs, travel costs and equipment costs for each location.	FY 2022-23

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BENEFITS REALIZATION TABLE					
	repair or replace servers eliminated.				
4	Customers will have to spend less time in Department or Tax Collector Offices due to efficiencies in the system and services available online.	Customers/Tax Collectors	Customers will spend less time in Department or Tax Collector Offices, due to the resolution of issues online or during a prior visit.	Transactions processed online are measurable and compared to the number of transactions being processed in offices around the state.	FY 2022-23
5	Workload savings will be achieved through the implementation of the motor vehicle system. Based on gained efficiencies in registrations, title transactions, IFTA/IRP and Fleet Vehicle improvements and those services being moved online, there will be less need to increase the number of staff required to meet increasing service needs. Tax Collector's Offices throughout the state should be able to avoid future increased staffing costs of <b>\$5.5 million</b> .	Tax Collectors	Workload Savings generated by system efficiency that shortens or eliminates transaction times. This will save DHSMV and Tax Collectors offices from expanding their workforce as demand grows in coming years.	The Department monitors average transaction time and online transactions allowing for accurate comparison and measurement of gained efficiencies.	FY 2022-23

Overall, the Department estimates that the Motorist Modernization Phase II project will return an annual benefit of approximately \$21 million to Department operations, its partners and customers. The Department acknowledges this is a preliminary estimate of benefit realization and will continue to update these numbers once requirements gathering are completed and potential benefits have been re-calculated. This does not include the cost avoidance of replacing the system prior to system failure, which would affect Department operations and have a significant economic impact on Florida businesses and citizens.

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**B. Cost Benefit Analysis (CBA)**

CBAForm 1 - Net Tangible Benefits

Agency DHSMV Project Motorist Modernization Phase

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 (Recurring Costs Only -- No Project Costs)	FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	
<b>A. Personnel Costs -- Agency-Managed Staff</b>	\$2,891,564	\$0	\$2,891,564	\$2,891,564	\$0	\$2,891,564	\$2,891,564	\$0	\$2,891,564	\$2,891,564	\$0	\$2,891,564	\$2,891,564	\$0	\$2,891,564	
<b>Ab Total Staff</b>	35.90	0.00	35.90	35.90	0.00	35.90	35.90	0.00	35.90	35.90	0.00	35.90	35.90	0.00	35.90	
<b>A-1.a. State FTEs (Salaries &amp; Benefits)</b>	\$2,691,564	\$0	\$2,691,564	\$2,691,564	\$0	\$2,691,564	\$2,691,564	\$0	\$2,691,564	\$2,691,564	\$0	\$2,691,564	\$2,691,564	\$0	\$2,691,564	
<b>A-1.b. State FTEs (#)</b>	34.90	0.00	34.90	34.90	0.00	34.90	34.90	0.00	34.90	34.90	0.00	34.90	34.90	0.00	34.90	
<b>A-2.a. OPS Staff (Salaries)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>A-2.b. OPS (#)</b>	0.00	0.00	0.00	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>A-3.a. Staff Augmentation (Contract Cost)</b>	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	
<b>A-3.b. Staff Augmentation (# of Contractors)</b>	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	
<b>B. Application Maintenance Costs</b>	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	
<b>B-1. Managed Services (Staffing)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>B-2. Hardware</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>B-3. Software</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>B-4. Other AST</b>	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	\$2,267,556	\$0	\$2,267,556	
<b>C. Data Center Provider Costs</b>	\$291,233	\$0	\$291,233	\$290,521	\$0	\$290,521	\$1,799,489	\$0	\$1,799,489	\$1,799,489	-\$1,500,000	\$299,489	\$299,489	\$0	\$299,489	
<b>C-1. Managed Services (Staffing)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>C-2. Infrastructure</b>	\$75,201	\$0	\$75,201	\$74,489	\$0	\$74,489	\$74,489	\$0	\$74,489	\$74,489	\$0	\$74,489	\$74,489	\$0	\$74,489	
<b>C-3. Network / Hosting Services</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>C-4. Disaster Recovery</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>C-5. Other Field Server Maintenance/Replacement</b>	\$216,032	\$0	\$216,032	\$216,032	\$0	\$216,032	\$1,725,000	\$0	\$1,725,000	\$1,725,000	-\$1,500,000	\$225,000	\$225,000	\$0	\$225,000	
<b>D. Plant &amp; Facility Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>E. Other Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>E-1. Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>E-2. Travel</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>E-3. Other</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
<b>Total of Recurring Operational Costs</b>	\$5,450,353	\$0	\$5,450,353	\$5,449,641	\$0	\$5,449,641	\$6,958,609	\$0	\$6,958,609	\$6,958,609	-\$1,500,000	\$5,458,609	\$5,458,609	\$0	\$5,458,609	
<b>F. Additional Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0		
<b>F-1. CS Registrations/Transactions</b>		\$0			\$0			\$0			\$0			\$0		
<b>F-2. WA Registrations/Transactions</b>		\$0			\$0			\$0			\$0			\$0		
<b>F-3. IFTA/IRP</b>		\$0			\$0			\$0			\$0			\$0		
<b>Total Net Tangible Benefits:</b>		\$0			\$0			\$0			\$1,500,000			\$0		

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	30%
Placeholder	<input type="checkbox"/>	Confidence Level	

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

DHSMV			Motorist Modernization Phase II			CBA Form 2A Baseline Project Budget												
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.						FY2017-18		FY2018-19		FY2019-20		FY2020-21		FY2021-22		FY2022-23		TOTAL
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Previous Years Project-Related Cost	FY2017-18		FY2018-19		FY2019-20		FY2020-21		FY2021-22		FY2022-23		TOTAL		
				YR 1 #	YR 1 LBR Budget	YR 2 #	YR 2 LBR Budget	YR 3 #	YR 3 LBR Budget	YR 4 #	YR 4 LBR Budget	YR 5 #	YR 5 LBR Budget	YR 6 #	YR 6 LBR Budget			
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00 \$ - \$ 565,367	0.00 \$ - \$ 775,445	0.00 \$ - \$ 3,232,154	0.00 \$ - \$ 3,682,237	0.00 \$ - \$ 3,682,237	0.00 \$ - \$ 2,519,901							\$ 45,660,220		
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -		\$ -		
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000	0.00 \$ - \$ 200,000		\$ 1,200,000		
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -		\$ -		
Project oversight to include Independent Verification & Validation (I&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -	0.00 \$ 500,000 \$ -		\$ 3,000,000		
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 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -	0.00 \$ -		\$ -		
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		\$ -		
Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ 19,900 \$ -	\$ 7,800 \$ -	\$ 17,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -	\$ 4,000 \$ -		\$ 56,700		
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ 50,000 \$ -	\$ 50,000 \$ -	\$ 550,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -	\$ 350,000 \$ -		\$ 1,700,000		
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	\$ 3,432,430 \$ -	\$ 4,379,200 \$ -	\$ 7,239,200 \$ -	\$ 7,239,200 \$ -	\$ 5,939,200 \$ -	\$ 2,871,200 \$ -							\$ 31,100,430		
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -		\$ -		
Include the quote received from the data center provider 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	\$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -		\$ -		
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -		\$ -		
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	\$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -		\$ -		
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -	\$ - \$ -		\$ -		
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ 129,850 \$ -	\$ 100,000 \$ -	\$ 120,000 \$ -	\$ 126,500 \$ -	\$ 114,500 \$ -	\$ 81,500 \$ -							\$ 672,350		
<b>Total</b>			\$ -	0.00 \$ 4,132,180 \$ 765,367	0.00 \$ 5,037,000 \$ 975,445	0.00 \$ 8,426,200 \$ 3,432,154	0.00 \$ 8,219,700 \$ 3,882,237	0.00 \$ 6,907,700 \$ 3,882,237	0.00 \$ 3,806,700 \$ 2,719,901							\$ 52,186,821		

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

CBAForm 2 - Project Cost Analysis

Agency	<u>DHSMV</u>	Project	<u>Motorist Modernization Phase II</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	
TOTAL PROJECT COSTS (*)	\$4,897,547	\$6,012,445	\$11,858,354	\$12,101,937	\$10,789,937	\$45,660,220
CUMULATIVE PROJECT COSTS <small>(includes Current &amp; Previous Years' Project-Related</small>	\$4,897,547	\$10,909,992	\$22,768,346	\$34,870,283	\$45,660,220	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$4,897,547	\$6,012,445	\$11,858,354	\$12,101,937	\$10,789,937	\$45,660,220
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$4,897,547	\$6,012,445	\$11,858,354	\$12,101,937	\$10,789,937	\$45,660,220
CUMULATIVE INVESTMENT	\$4,897,547	\$10,909,992	\$22,768,346	\$34,870,283	\$45,660,220	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude <span style="color: blue;">x</span>	Confidence Level		50%
Placeholder	Confidence Level		

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

CBAForm 3 - Project Investment Summary

Agency	<u>DHSMV</u>	Project	<u>torist Modernization Phas</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	TOTAL FOR ALL YEARS
Project Cost	\$4,897,547	\$6,012,445	\$11,858,354	\$12,101,937	\$10,789,937	\$45,660,220
Net Tangible Benefits	\$0	\$0	\$0	\$1,500,000	\$0	\$1,500,000
Return on Investment	(\$4,897,547)	(\$6,012,445)	(\$11,858,354)	(\$10,601,937)	(\$10,789,937)	(\$44,160,220)
Year to Year Change in Program Staffing	0	0	0	0	0	

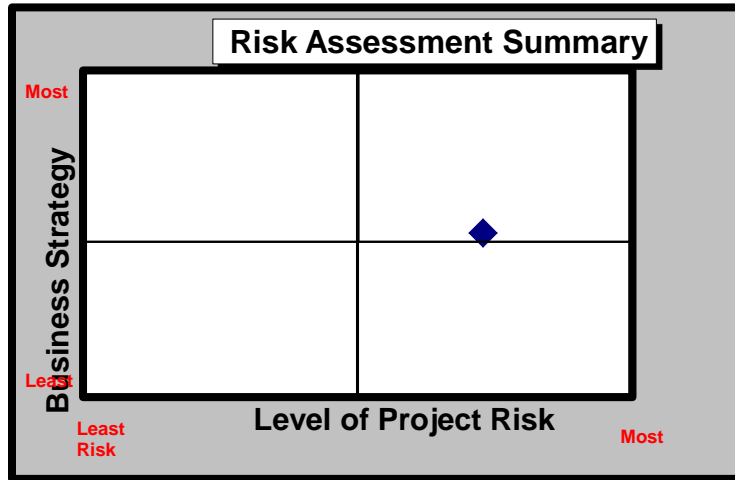
RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$38,837,509)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**V. Schedule IV-B Major Project Risk Assessment**

The Risk Assessment Summary is a graphical representation of the results computed by the risk assessment tool. It shows that the Motorist Modernization Phase II program achieves solid business strategy alignment. However, as would be expected at this early stage, the program still carries high risk. It is expected that overall project risk will diminish when low-level program requirements have been documented. The results of this risk assessment are discussed in detail in the Project Management Plan along with the Department’s plan to continually identify, assess, and mitigate risk throughout the life of the program.



Risk Area Breakdown illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. The results of this risk assessment are discussed in detail in Program Management Plan along with the Department’s plan to continually identify, assess, and mitigate risk throughout the program lifecycle.

<b>Project Risk Area Breakdown</b>	
<b>Risk Assessment Areas</b>	<b>Risk Exposure</b>
Strategic Assessment	<b>HIGH</b>
Technology Exposure Assessment	<b>MEDIUM</b>
Organizational Change Management Assessment	<b>MEDIUM</b>
Communication Assessment	<b>MEDIUM</b>
Fiscal Assessment	<b>HIGH</b>
Project Organization Assessment	<b>MEDIUM</b>
Project Management Assessment	<b>MEDIUM</b>
Project Complexity Assessment	<b>HIGH</b>
<b>Overall Project Risk</b>	<b>HIGH</b>



SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

## VI. Schedule IV-B Technology Planning

### A. Current Information Technology Environment

The current Department of Highway Safety and Motor Vehicles (The Department, DHSMV) technology environment has evolved over the past 41 years. Older technologies have been modified and newer technologies have been added incrementally to reflect changes in the Department’s organization, statutory mandates and customer expectations. As a result, the current technical environment is multi-layered; uses numerous applications, databases and programming languages; and requires many people with a wide breadth of skill sets to maintain. Figure 5-1 – Current Technology Environment illustrates the current technology environment.

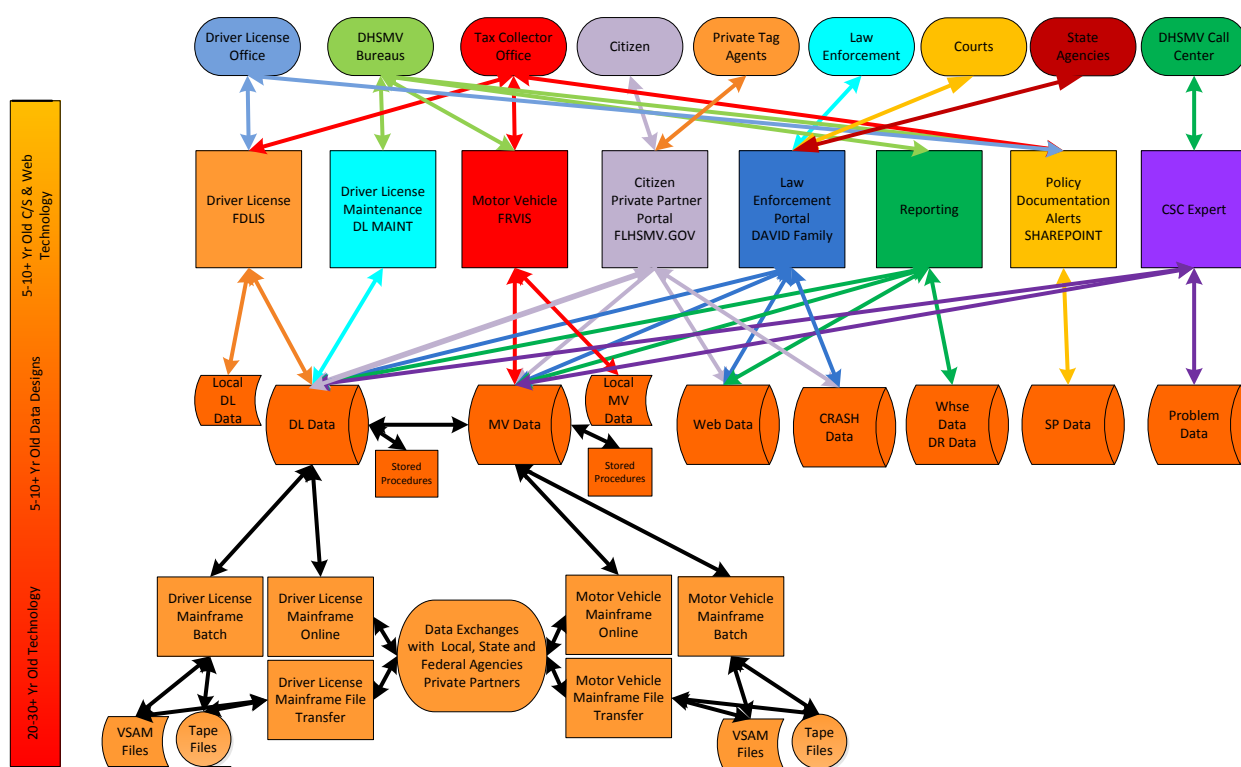


Figure 5-1 – Current Technology Environment

#### 1. Current System

In 1969, when the Department was created by the merging of the Department of Public Safety and Department of Motor Vehicles, issuance was a manual process. Mainframe systems utilizing batch technology were later added, one for the Driver License Division and one for the Motor Vehicle Division. In 1997, the current driver license system, Florida Driver License Information System (FDLIS), was implemented using Compuware Uniface’s client-server architecture, introducing the need to install a server in each of the field offices. In 1999, the motor vehicle system, Florida Real-Time Vehicle Information System (FRVIS), was implemented with the same architecture, but kept as a separate system, also requiring a field office server. Both systems continued to rely heavily on batch programs for processing, with online transactions originating in field offices during the day and batch processing of the information in the central databases at night.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

Over the years the Department has added functionality to the systems to support new mandates. Various “point solutions” were purchased to address specific needs. For example, Cogent provided finger printing capabilities for commercial driver licenses, Q-matic enabled customer queue management in the field offices, and OASIS allowed centralized appointment management for the field offices. Many other examples could be cited. These modifications and additions added incrementally to the complexity of the environment.

Subsequent to FRVIS being developed, the Department recognized the benefit of having a single view of the customer. The first attempts to provide this view came in 2001 when the Driver and Vehicle Information and Database System (DAVID) provided a single online view of the customer to law enforcement personnel. Another system, Express Lane, allowed customers to go to a single website to perform online driver license and motor vehicle transactions. However, Express Lane had limitations because of the separate driver license and motor vehicle databases. It still required the customer to complete multiple transactions. Changing an address required entering it twice – once for the driver license database and once for the motor vehicle database.

More recently, as Tax Collectors issued driver licenses, the demand for a single view of the customer increased. The separate nature of FRVIS and FDLIS had not placed serious limitations on the business before when driver license and motor vehicle field offices were separate. Now, as the offices physically merge, the technology prevents a seamless integration of services.

The Department developed Virtual Office in 2005, which provided a consolidated interface into both systems. An address change was entered once and updated in both FRVIS and FDLIS. The Department also investigated ways to make the systems function more as a single entity by using database technology to synchronize data between the driver license and motor vehicle databases. This creates a single customer data view but may also introduce data integrity issues (timing and complexity of updates) between the driver license and motor vehicle databases.

Tax Collectors have continued to request other functionality such as new reports, enhanced interface features, the ability to interface with existing cashiering or document management systems. Tax Collector requests now account for a third of the total system upgrades or modification requests handled by ISA.

The evolution of the driver license and motor vehicle systems over time has led to a technical environment that is multi-layered, uses numerous different technologies and requires many people with diverse skill sets to maintain. Counting platform environments, database environments and programming languages, there are over 30 different technical environments that must be supported by the technical staff. Many of the modification requests and projects require changes across the technology environments which increase the duration of project implementations. There are over 400 existing requests for modifications affecting the systems. Statute and business rule changes continue to generate requests and projects to modify the systems, adding to the technical complexity. Implementation timelines for the modification requests and projects may remain lengthy and the ability to meet the customer’s needs may be affected.

**a. Description of Current System**

The current technical environment consists of eight major systems supported by seven different database repositories, a dozen “point solutions” and 47 web applications. Mainframe online transaction services, print services and file transfer protocol (FTP) services move data from system to system; update or print motor vehicle data; or transfer data to/from external sources. Over 20 programming languages are used to maintain these systems on approximately a dozen different platform environments. Figure 5-2 – Current System Overview depicts the current technology environment.

## SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

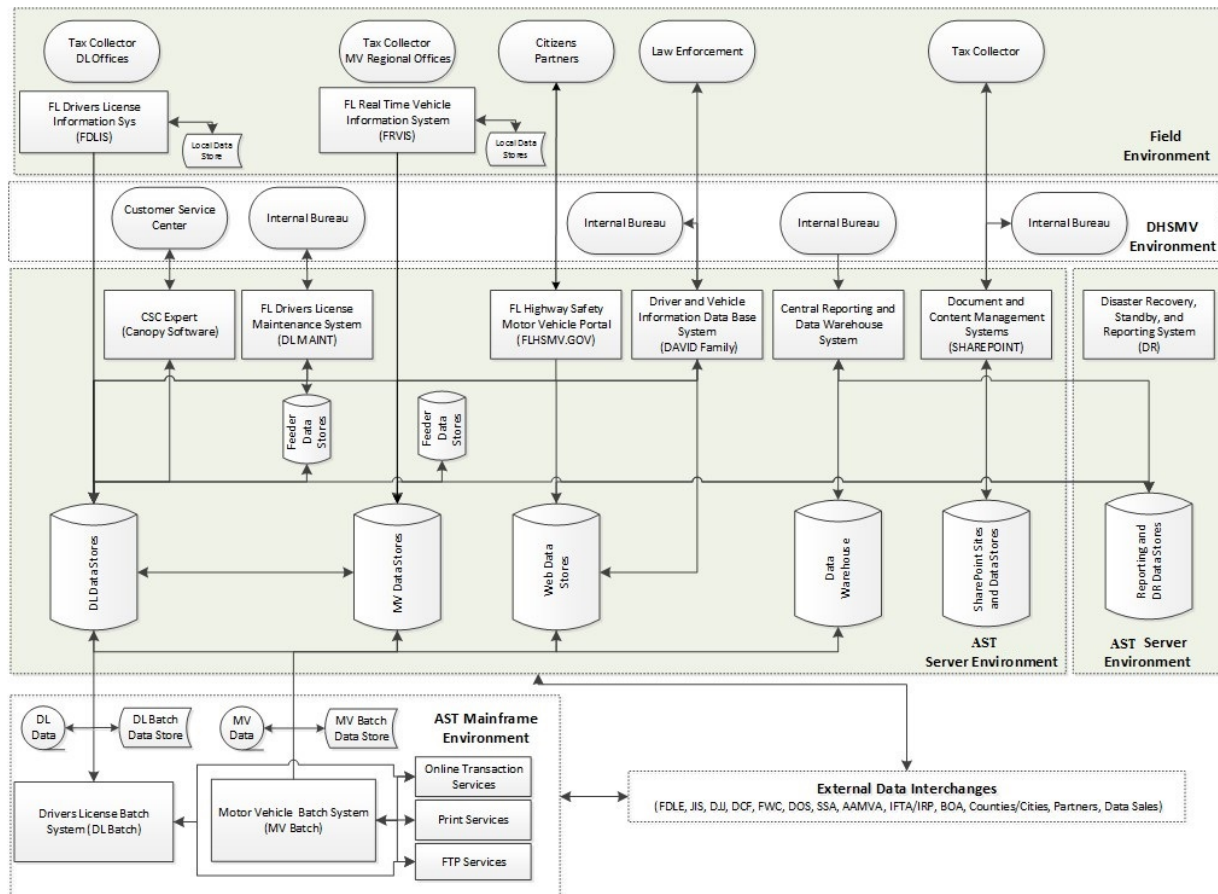


Figure 5-2 – Current System Overview

The cornerstones of the current technology environment are two information systems – FDLIS for Driver License and the FRVIS for Motor Vehicle. These systems are used by County Tax Collectors, State driver's license offices, State motor vehicle regional offices, private partners and DHSMV bureaus, to perform credentialing functions. This includes the issuance and maintenance of driver licenses and identification cards, and the titling and registration of motor vehicles, vessels and mobile homes. These systems also provide the ability to collect fees and distribute revenue.

Besides FDLIS and FRVIS, the other major systems are:

- **DL Maintenance/Motorist Maintenance** - used by internal DHSMV Bureaus to update Driver License records and add citations directly in the driver license database.
- **The Florida Highway Safety Motor Vehicle Portal/Website (FLHSMV.GOV)** - used by citizens and private partners to access/make limited edits to driver license and motor vehicle information and initiate self-service transactions.
- **The Central Reporting and Data Warehouse System** - used by internal DHSMV Bureaus to produce many types of reports used internally and to respond to requests from the public.
- **Customer Service Center Expert System (CSC)** - used to track contact information from the Customer Service Center.
- **The Driver and Vehicle Information and Database System (DAVID)** - a family of applications used by law enforcement, State agencies (e.g. Dept. of Children and Families

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

for child and adult protective investigators), internal DHSMV Bureaus, and the courts to access driver license and motor vehicle information.

- **The SharePoint Content and Document Management Systems** – used by internal bureaus and Tax Collectors to store driver and motor vehicle documents and content.

FDLIS, FRVIS, CSC Expert, DAVID and FLHSMV.GOV are supported by three databases, one for FDLIS, one for FRVIS and one for the two web applications (DAVID and FLHSMV.GOV). These databases operate separately, yet hold similar data on DHSMV customers. To reduce duplication, synchronization runs between the databases to copy limited driver information, but discrepancies between the databases are found regularly. “Feeder” databases are used to store signatures, pictures, fingerprints and other scanned documents.

Both FDLIS and FRVIS require a local server to run in the State field offices and Tax Collectors offices. In the field, these applications run from their local databases and then the data is uploaded to the central office on a periodic basis. This means that 436 servers are maintained in the field by the Department, that data is stored in over 1,500 databases in the field and updates to these systems must be promoted to 436 locations when a new version is released. Table 5-1 - System Statistics highlights the complexity of the current system as it has evolved over the years.

Number of Sub-Systems within FRVIS	17
Number of FDLIS/FRVIS Field Deployment Locations	436
Number of Unique Central Databases	14
Number of Central Tables	5,684
Size of Central Databases (Terabytes)	47.4
Number of Stored Procedures	17,139
Number of Database Software Products Deployed in the Field	1
Number of Unique Local Databases Per Remote Location	3-7
Total Number of Remote Database Instances	1,500
Number of Batch Jobs in Motor Vehicles	1,963
Number of Batch Programs in Motor Vehicles	1,294
Number of Different Types of CICS Modules	40
Number of Different Types of FTP Jobs	427
Number of Web Applications/Services	47
Number of COTS Field Deployment Locations	436

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

Number of Programming Languages (types and versions)	20+
Number of Database Environments (types and versions)	5
Number of Platform Environments (types and versions)	10+
Average Mainframe Application Age (adjusted to 2010)	20+ years
Average Client/Server Application Age (adjusted to 2010)	10+ years
Average Web Application Age (adjusted to 2010)	5+ years
Number of Tax Collector Offices Offering Driver License Services	133

**Table 5-1 – Systems Statistics****i. Driver License Overview**

The Division of Motorist Services, in conjunction with the county Tax Collectors and other private partners, establishes driver identity, licenses (regular, commercial or motorcycle) qualified drivers, issues identification cards and maintains driver records. It is the official custodian of Florida driver license records. The driver license application is currently being modernized as a part of Motorist Modernization – Phase I.

The majority of driver license transactions are performed in field offices or Tax Collector offices. The technical environment in DL field offices consists of:

- FDLIS, a client/server application executing in the Tax Collector or driver license office, enables the basic driver licensing process workflow and stores specific driver license information(including vision and skills test results) on the local office server in a solidID database.
- Capture, is used to scan and capture driver signature and picture and track inventory card stock for printing licenses.
- Cogent, another COTS application, is used for commercial driver licenses. It stores its images on the file / print server.
- ADLTS, a COTS application for driver license exams. It stores results on the central DL EXAM database.
- CSC Expert, a highly customized COTS application from Canopy is used, is used to record, store and retrieve issue information by the Field Support and Customer Service Centers.
- OASIS, a web-based application used to display and record appointment location and time. Driver license appointments can be made by calling your local Tax Collector or driver license office. The call will be answered locally or routed to a central appointment call center.
- Q-Matic, an in-office queuing management system implemented in some field offices in 2009.

At different intervals the scan, image, driver and card control information on the local server is sent to the central driver license databases DL PROD, DL IMAGE, DL SCAN and FLIMS.

DHSMV bureaus use the Driver License Maintenance System (DL MAINT) to view and update driver records. First time driver license identification for citizens or non-citizens is completed by a DHSMV bureau.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

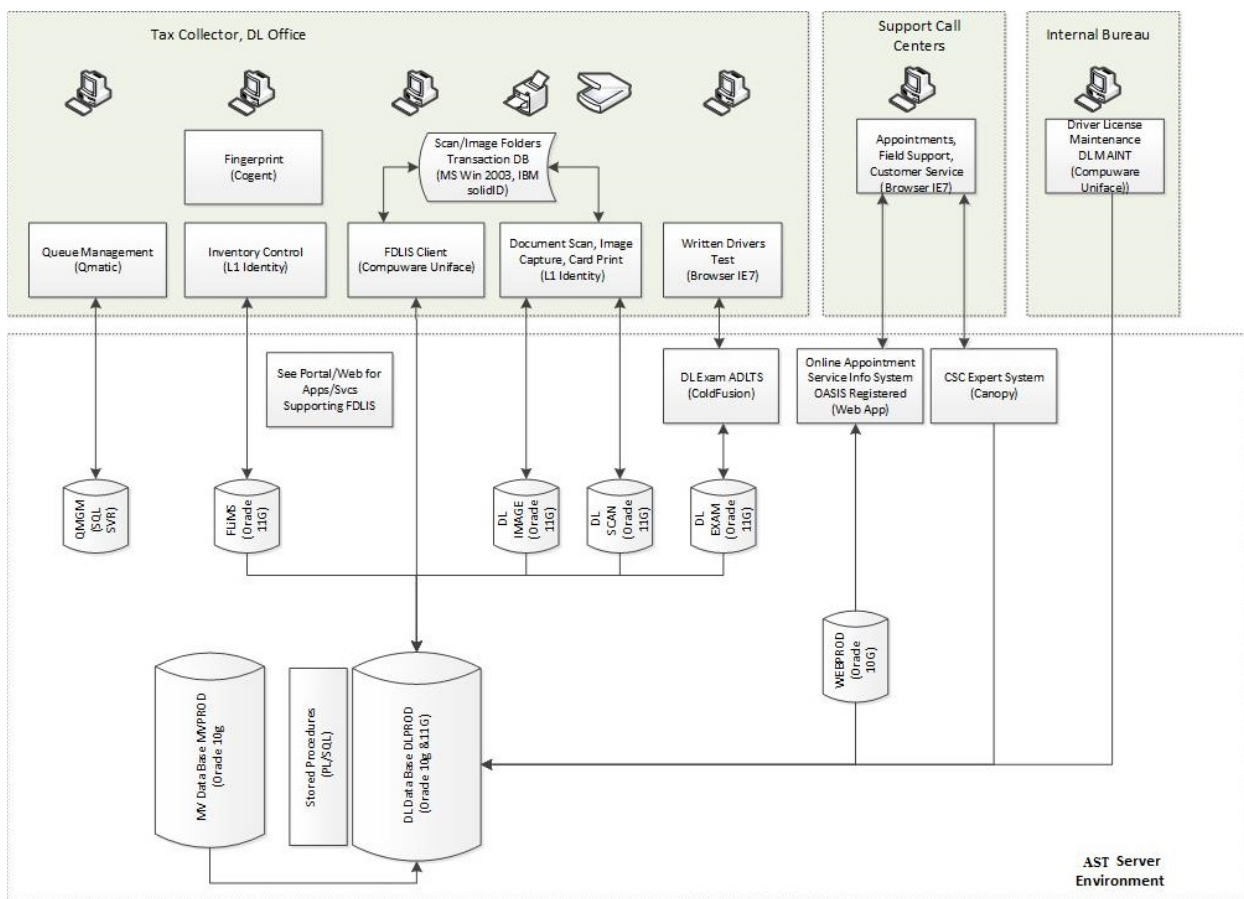


Figure 5-3 – DL System Overview

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**ii. DL Mainframe System Overview**

The driver license mainframe system consists of multiple batch jobs and COBOL programs scheduled and tracked through Computer Associates 7/11 tools, an online transaction processing region (CICS), inbound and outbound FTP services, and print services. The batch jobs use driver license data from multiple sources to update DL PROD, sequential tape files and VSAM files. The CICS region is used for inbound and outbound transactions, e.g. verification of social security number for FDLIS or satisfying driver information requests from colleges, etc. The FTP inbound and outbound services accept or send from external agencies or private partners bulk driver information typically processed by the batch jobs. The print services print reports, notices, etc. processed by the batch jobs.

Typical batch functions include processing sanctions, stops, insurance information, payroll and personnel reconciliation, sexual predator/offender updates, renewal notifications, data sales, and others.

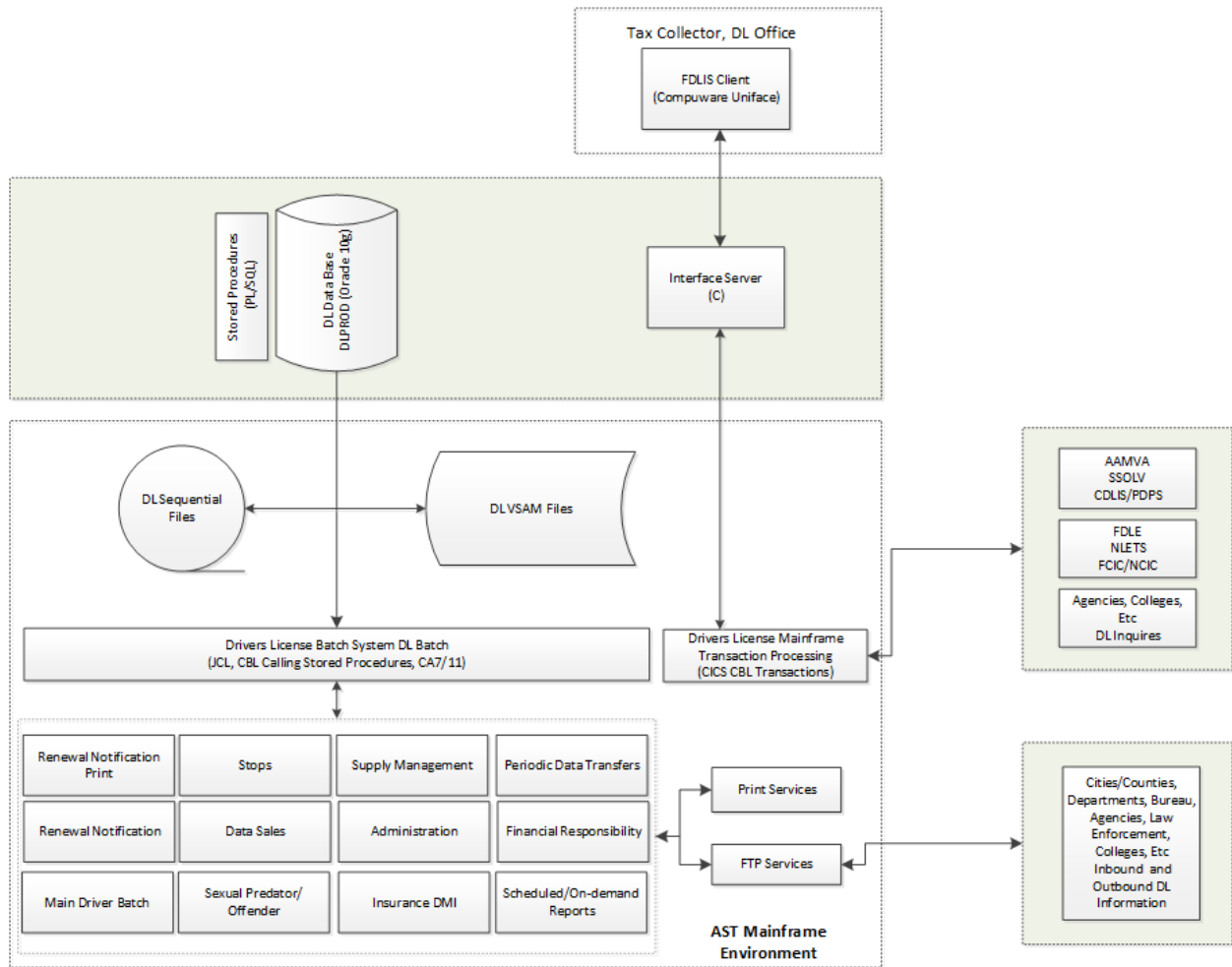


Figure 5-4- DL Batch Demonstration

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****iii. Motor Vehicles Overview**

The Division of Motorist Services, in conjunction with the county Tax Collectors and other private partners, register and title motor vehicles, vessels and manufactured or mobile homes; records liens; maintains records of motor vehicle, vessel, and manufactured or mobile home title transactions. The Division also maintains an inventory of license plates and registration decals; manages disabled parking permits; licenses motor vehicle and manufactured or mobile home manufacturers and dealers; registers commercial motor carriers under the International Registration Plan; and insures taxes are paid under the International Fuel Use Tax Agreements (IFTA / IRP).

Vehicle Registrations are performed at DMV Field Offices, Tax Collector offices or car dealerships. In field and Tax Collector offices the technical environment includes:

- FRVIS, a client/server application executing in the Tax Collector or motor vehicle regional office, enables the basic titling, registration and licensing process workflow and stores specific motor vehicle information on the local office server (solidID database).
- CSC Expert, a highly customized COTS application is used to record, store and retrieve requested customer information.

Documents for titling and registration collected in field offices are sent to DHSMV headquarters for high speed scanning and storage in MV PROD. Historical motor vehicle data is stored in HS PROD. Car Dealers performing titling and registration do so through 3rd party vendors. Their proprietary software interfaces with the Electronic Filing System (EFS) updating the motor vehicle database MV PROD. The documents required by the Department are scanned at the dealership and submitted electronically to the Tax Collectors for review via EFS.



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

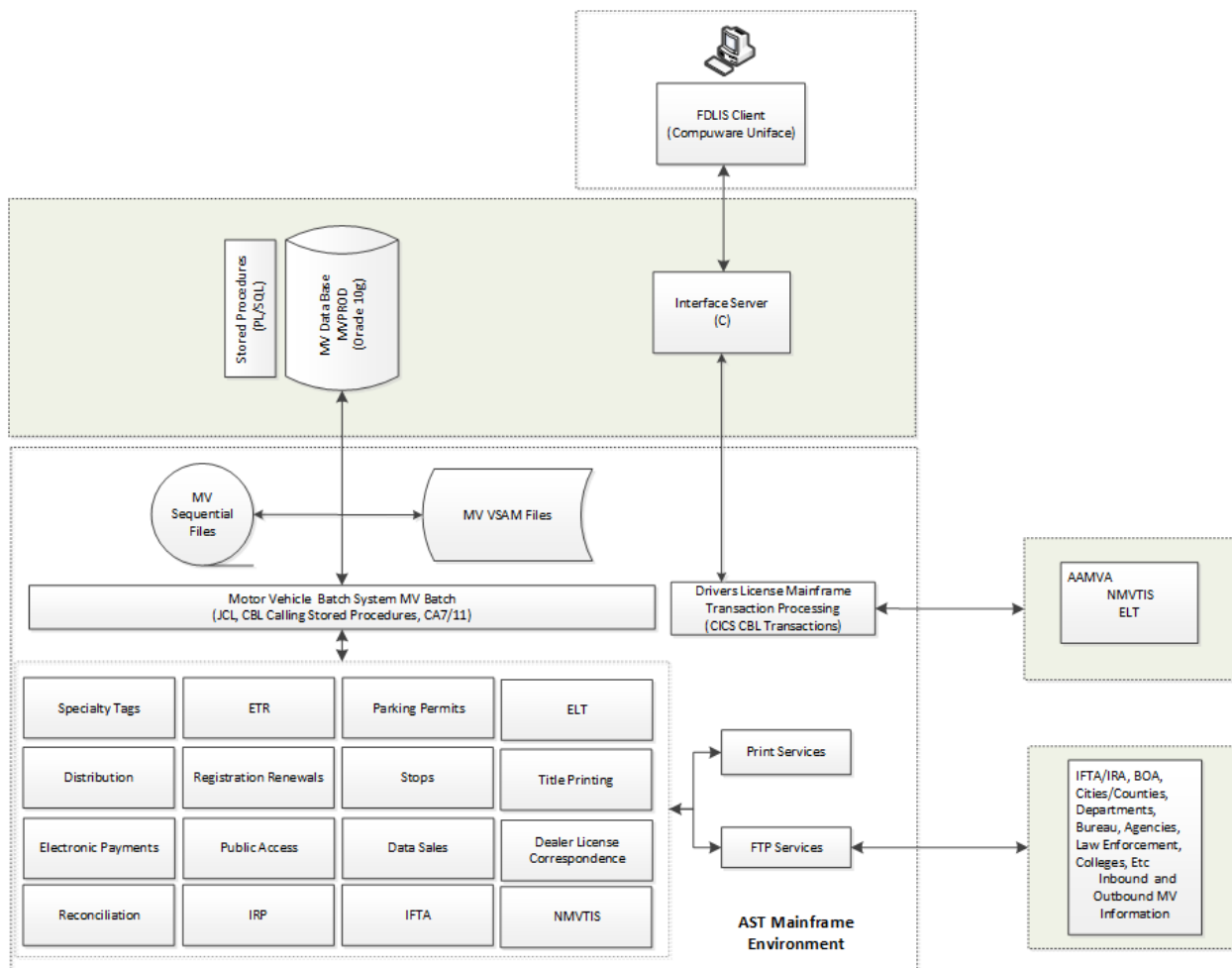


Figure 5-5 - MV System Overview

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**iv. MV Mainframe System Overview**

The motor vehicle mainframe system consists of multiple batch jobs and COBOL programs scheduled and tracked through Computer Associates 7/11 tools, an online transaction processing region (CICS), inbound and outbound FTP services, and print services. The batch jobs use motor vehicle data from multiple sources to update MV PROD, sequential tape files and VSAM files. The CICS region is used for inbound and outbound transactions, e.g. verification of information on a paper title with electronic data from the state that issued the title. The FTP inbound and outbound services accept or send from external agencies or private partners bulk driver information typically processed by the batch jobs. The print services print reports, notices, titles, etc. processed by the batch jobs.

Typical batch functions include processing stops, correspondence, renewal notifications, specialty tag requests, electronic payments, data sales, etc.

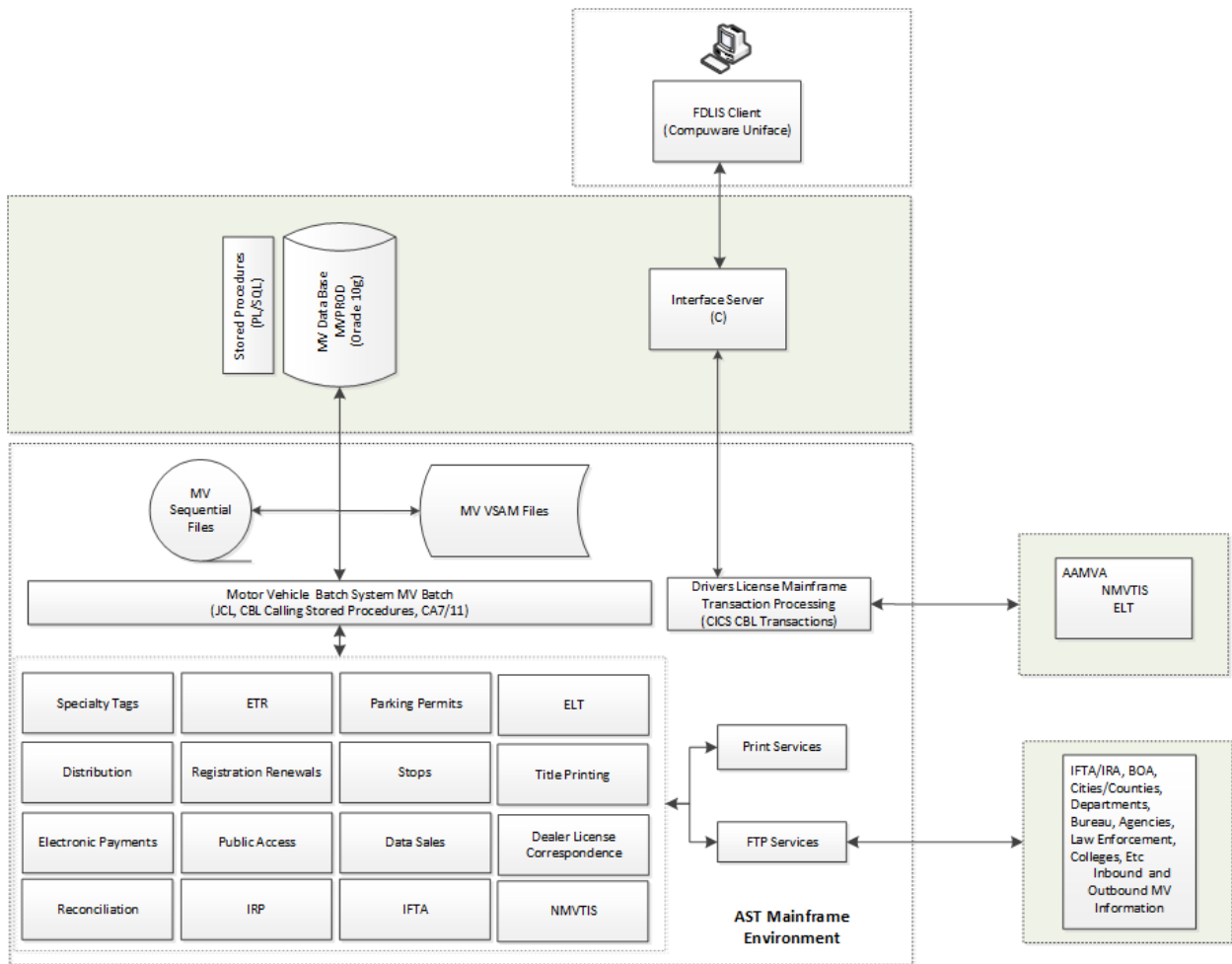


Figure 5-6- MV Mainframe System Overview

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**v. Portal/Web System Overview**

The Florida Highway Safety Motor Vehicle Portal/Website, related web applications and web services are used by citizens, private partners, driver license offices, motor vehicle offices and county Tax Collectors to access driver license and motor vehicle information (DL PROD and MV PROD) and initiate self-service transactions. The database WEB PROD is used to store web site transaction information.

The web applications and services can be segmented into three categories: those used to support online access by the public, and those used to support FDLIS and/or FRVIS processing.

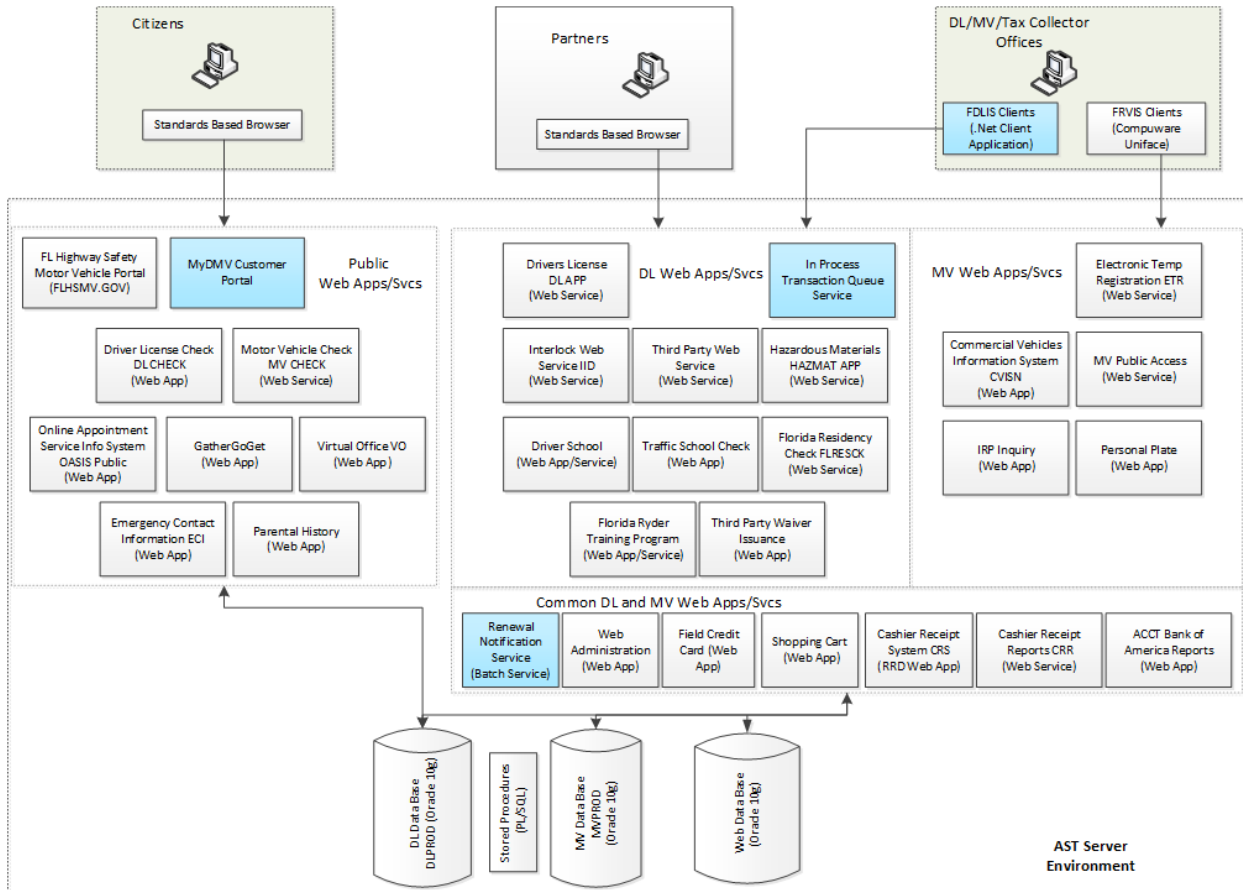


Figure 5-7- Portal/Web System Overview

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**vi. DAVID System Overview**

The Driver and Vehicle Information Database System (DAVID) web application and services has been functionally tailored and named/renamed for four audiences: law enforcement (DAVID), State agencies (MDAVE/DAVE), internal bureaus (IRIS) and the Office of Supreme Court Administrators (JIS).

DAVID and its variations allow for driver license and motor vehicle information searches and retrieval from DL PROD, MV PROD, WEB PROD and other DL and MV supporting databases authorized for each audience.

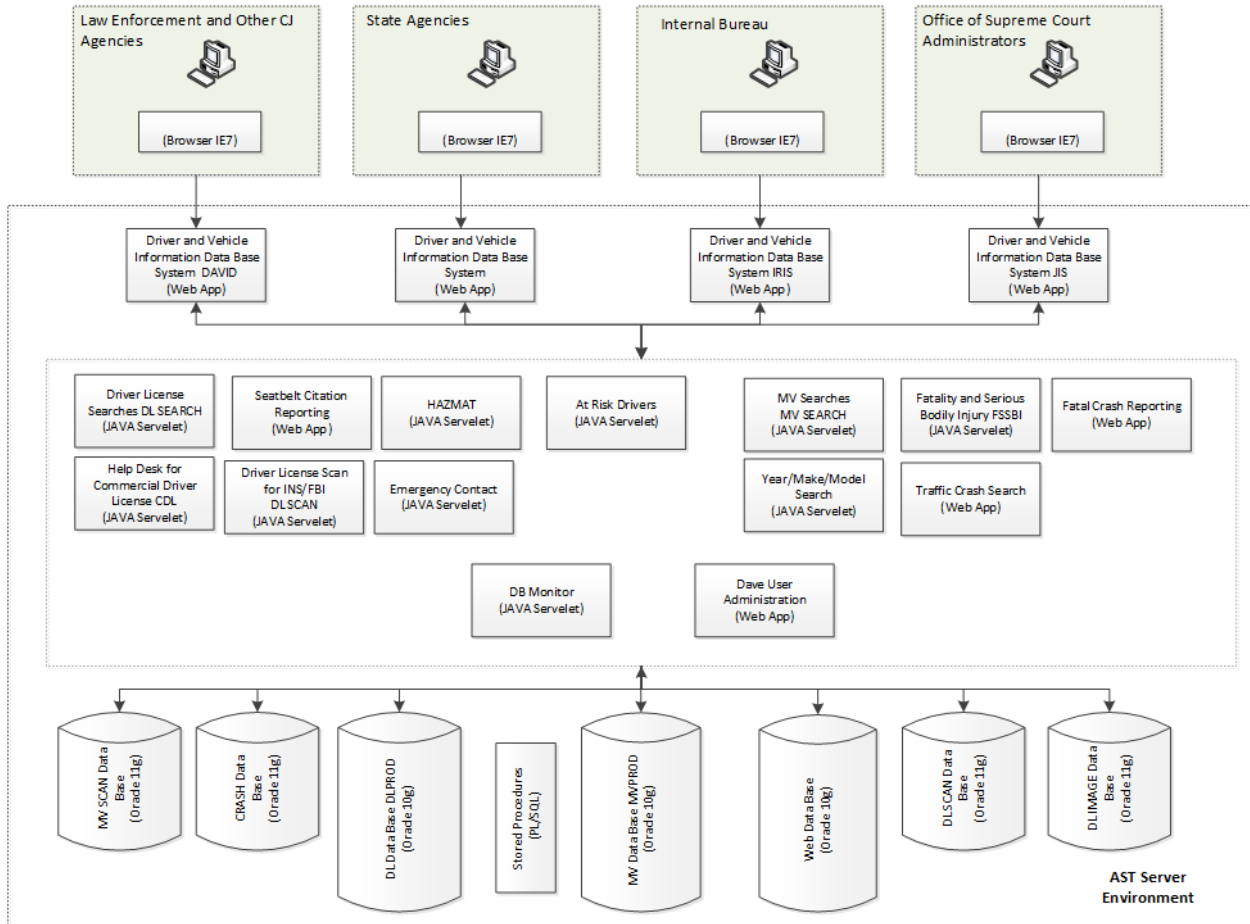


Figure 5-8- DAVID System Overview

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**vii. Disaster Recovery, Standby, Data Warehouse and Reporting System Overview**

For disaster recovery, standby and backup purposes DL PROD, MVPROD, WEB PROD, DL IMAGE, DL SCAN, FLIMS and DL EXAM are replicated real time from the AST environment to the disaster recovery/standby environment using the QUEST Shareplex product. The HS PROD database contains pre 1999 historical data not refreshed. When a disaster is declared, access to driver license and motor vehicle information will be granted to citizens and law enforcement through the public access web application and DAVID respectively. The AST and disaster recovery/standby environments are in separate buildings.

Backup tapes with a periodic offsite rotation are created from the AST environment databases.

The Tax Collector, driver license and motor vehicle field offices are governed by site specific local office disaster recovery/backup policies and procedures. This means that the Department has limited control over the continuity of the data in the field.

Operational reports are embedded in the FDLIS and FRVIS applications. Business intelligence reports are produced from the data warehouse. Long running query reports are produced from the replicated disaster recovery/standby databases.

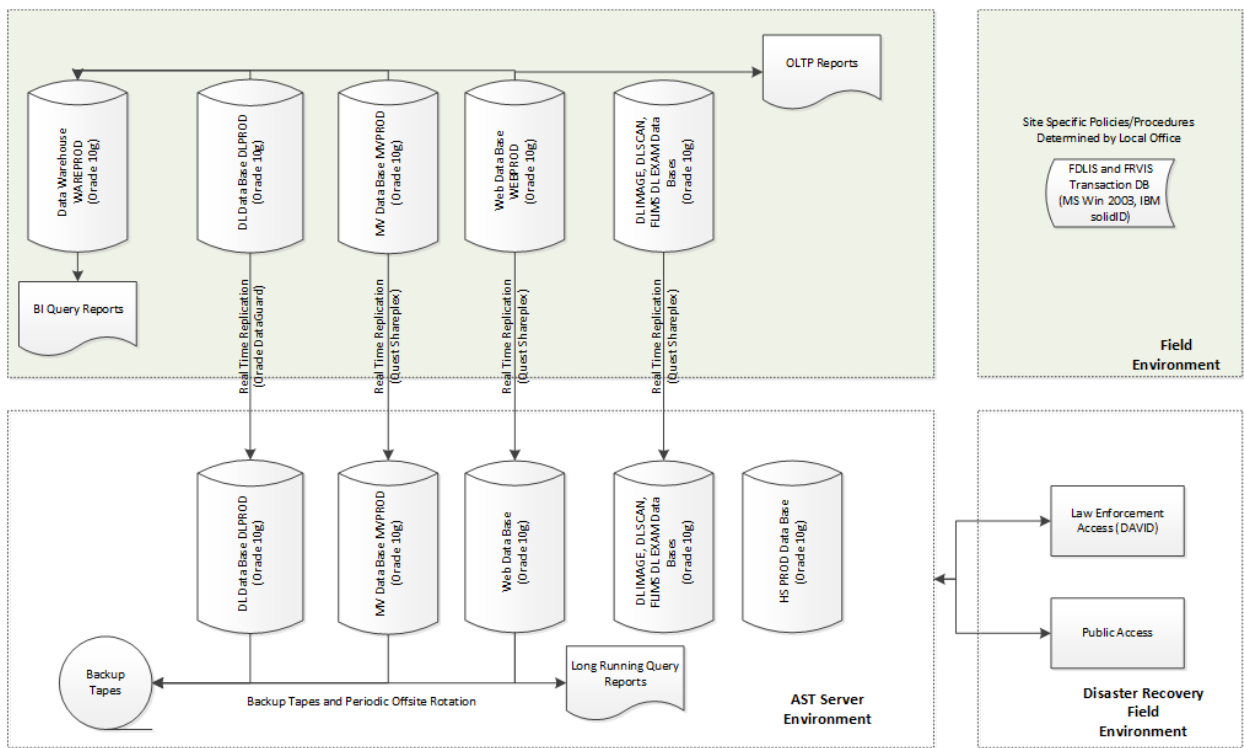


Figure 5-9- DR, Data Warehouse, and Reporting System Overview

## SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

### b. Current System Resource Requirements

Table 5-2 – Current System Resources summarizes the technical resources utilized in the current system.

System	Accessibility	Usage	Hardware Platform	Software Platform	Database Platform	Program Languages
DL FDLIS	Restricted access to tax collectors and DL field offices	Max ~4000 concurrent/day	HP ML 370/Dell 2600	Windows 2008 R2	IBM SolidID, Oracle 11g, Oracle 10g, SQL SVR	Uniface, CIC, COBOL, Unix scripts, C, PL/SQL
DL Mainframe	Batch	2834 jobs between DL and MV mainframe	IBM z10	CIC, z/OS 1.9	Oracle 10g, VSAM & flat files	COBOL, Secure FTP, Unix scripts, CICS, FOCUS, Uniface, UNI, PL/SQL
MV FRVIS	Restricted access to tax collectors and DL field offices	Max ~3600 concurrent/day	HP ML 370/Dell 2600	Windows 2008 R2	IBM SolidID, Oracle 10g	Uniface, COBOL, Uniface/Windows servers, C, Visual Basic, Rational Application Developer (RAD), IBM Exchange Mailbox
MV Mainframe	Batch	2834 jobs between DL and MV mainframe	IBM z10	CIC, z/OS 1.9	Oracle 10g, VSAM & flat files	COBOL, Secure FTP, C, Unix scripts, CICS, Uniface, PL/SQL, Uniface/Windows servers, Visual Basic, Rational Application Developer (RAD), Mainframe FTP, SQL, FTP, IBM Exchange Mailbox
FLHSMV.gov	Public access	~40k web hits / day	Dell 2850/2950	Sun v 7.5	Oracle 10g, 11g	ECLIPSE, HTML, JavaScript, FileZilla, Cold Fusion
DAVID DAVE IRIS JIS	Restricted access to law enforcement and other CJ agencies, state agencies, internal bureau, Office of Supreme Court Administrators	~7.5 million web hits / month	Solaris 9 – Sun Blade 2000, V-480, V-490, V-215, V-210	Unix OS, Sun v6-7	Oracle 10g, Oracle 11g	Java and Java Servlets, Unix scripts
Data Warehouse & Reporting	Restricted update access to ISA, inquiry granted to various data analysts	~20 people have access to wareprd ~11 MV Programs	Old and new HP Microsoft	HPUX (was true 64)	SQL SVR	BI query SSIS, SSAS, SSRS, Excel, Performance point
SharePoint	Restricted access to internal bureau and tax collectors	304 sites	Dell 2850/2950 Virtual (VMWare)	Windows 2008 R2 64-bit IIS	SQL SVR	.NET, C#
Phone / IVR	Public access		eServer Xseries 206 eServer Xseries 206 <del>Proliant ML 370</del> <del>Proliant DL 360</del> G4P	Windows 2008 R2		.NET, C#

Table 5-2 – Current System Resources

## SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

The Information Systems Administration (ISA) provides information technology services to the DHSMV divisions, bureaus and stakeholders. The sections within ISA are Service Operations, Service Development, Service Support and the Project Management Office. The ISA Section Chiefs identified the skills possessed by their staff and self-assessed the knowledge levels in each area. Understanding the capabilities of the current staff to support existing and new technologies is a data point to consider in the selection of a new environment.

### c. Current System Performance

Due to the decentralized, multilayered nature of the current technology system, there are not standard system wide performance metrics available. There are no existing service level agreements (SLAs) negotiated with consumers of technology services.

However, the complexity and age of the current technology environment creates support and maintenance issues, which presents risks to the business. From a technical perspective, the Department deals with:

- **Difficulty locating and retaining staff with necessary skill sets:** The number and age of different systems make it difficult to find and retain staff with the skill sets. Sometimes training is not feasible because of budget limitations or the lack of available courses in older technology.
- **Increased support, maintenance and contractor costs:** Maintaining older technology is more expensive. The number of technical problems increases as hardware and software environments age. Hardware (Mainframe) maintenance costs increase. Skill sets to support the older environments become scarcer with fewer contracting firms offering support services at increased cost.
- **Data synchronization complexity introduces errors:** The segregated databases and inability of older technologies to integrate at the business logic or interface layers requires the use of complex automated database processes or re-keying to synchronize data, which leads to a greater incidence of data errors.
- **Difficulty fixing bugs or implementing changes:** The complexity and inflexibility of the environment causes relatively straightforward changes to take significant effort. When the Legislature recently changed the fee structures for the Department's services, the effort it took to update FDLIS, FRVIS and other related systems included over 16,200 hours over a four month period and involved external vendors and 50 ISA staff. This did not include business hours expended in the effort.
- **Difficulty integrating software:** Integrating software programs can eliminate duplicative data entry/storage, improve process flow and provide a single interface for the user. However, integration requires either extensive custom programming or newer technology that has "universal connectors" (like web services, SOA, etc.) built in the technology. Some software integrations are simply not possible with decades-old technologies.

## 2. Information Technology Standards

A list of high level technology standards (requirements) for the proposed system is documented in Table 5-6 – Evaluation Criteria. A detailed technical requirements list will be developed in the Select & Design Work group of the motorist services modernization program.

The Department's current technical architecture standard is based on Microsoft's .NET framework, Microsoft's SQL Server relational database Service Oriented Architecture (SOA), and web based customer facing interfaces.

The Department has negotiated memorandums of understanding (MOUs) with data exchange partners. The MOUs specify the conditions, timing and cost (if any) under which the exchange takes place.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****B. Current Hardware and/or Software Inventory**

The following hardware and inventory encompasses those components directly related to the proposed solution to reengineer FRVIS, modify the MyDMV portal, and redesign the database in Phase II.

<b>Component</b>	<b>Purchase &amp; Warranty Expiration Dates</b>	<b>Current Performance Issues or Limitations</b>	<b>Business Purpose</b>	<b>Estimated Annual Maintenance</b>
<b>Mainframe</b>		<p>Technologies used to support mainframe applications becoming obsolete along with staffing resources needed to support</p> <p>Manual intervention required for several programs, introducing the potential and reality of human errors and failure points</p> <p>Several jobs related to renewals require lengthy run times (overnight and/or across multiple days), and any issues with the jobs shorten the length of time vendors have to generate the renewals</p>	Supports the batch-related systems used in the motorist services business processes	<p>AST Mainframe Costs</p> <p>\$722,881</p>
<b>Database Servers</b>	Expires Oct 2015	<p>All SOLID databases used in the field are costly and cumbersome to maintain; deployment of any updates is time consuming and intensive</p> <p>Handling of data among multiple, disparate servers introduces the potential for errors and/or discrepancies</p> <p>SOLID databases used in the field also introduce potential for lost data due to lack of monitoring and unexpected outages</p> <p>Lack of monitoring / auditing capabilities for the SOLID databases used in the field</p>	Store and provide access to all motorist services data	<p>AST &amp; Uniface Licensing Costs</p> <p>\$4,207,846</p>
<b>Application Servers Web Server Services Server</b>		Lack of the capability to scale and handle load from web requests introduces the potential for errors and/or data loss.	Provides multiple access points to motorist services applications both internally and externally	



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

<b>FRVIS</b>	N/A (custom built system)	System is over 10 years old, and the design did not anticipate the current rules and requirements  Developed using a programming language for which it is extremely difficult to acquire expertise  The underlying databases are isolated from other Department functionality and do not interrelate well with other systems	Primary system for Motor Vehicle issuance processing	In-house staff support & software maintenance
<b>Virtual Office (MyDMV Portal)</b>	N/A (custom built web app)	NOTE: Phase I began upgrading Virtual Office to MyDMV Portal. Phase II will migrate motor vehicle related features into the Portal.  The system is not well segregated and defined for ease of use by citizens	To provide a convenient online location for citizens to perform designated transactions related to their business with the Department	In-house staff support

**Table 5-6 - Hardware and Inventory**

## SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II

### C. Proposed Technical Solution

#### 1. Technical Solution Alternatives

Five solution categories were identified in Section 5.B Proposed Solution Description as solution alternatives for the Motorist Services Modernization Program. The categories included COTS, MOTS, Transfer, Custom Build and Retain Existing System. The COTS, MOTS & Transfer Categories were combined as a solution alternative because the vendor solutions identified during the market scan met many of the common definitions of these categories.

##### a. Assessment of Alternatives

Three categories have been identified as solution alternatives for the Motorist Services Modernization Program: Retain Existing System, Custom Build and COTS/MOTS/Transfer.

- **Alternative 1 – Retain Existing System**

Execute the current business processes with the existing technology environment. No significant changes or improvements to the existing business processes would be implemented. Maintenance (bug fixes) and periodic releases (legislative and policy mandates) would continue to be provided going forward. The funding source for the move from mainframe technology to server technology would be re-evaluated.

The complexity and age of the current technology environment increases costs associated with staffing, skill sets, maintenance (bug fixes), data synchronization (errors), implementing timely changes (legislative and policy mandates), and integrating new functionality.

The current technology environment is not aligned with the Department's organization, which includes the transfer of driver license issuance to the Tax Collectors and customer expectations for self-service.

- **Alternative 2 – Custom Build**

This alternative requires the Department to procure a vendor and/or engage in-house resources to design, develop, and deploy a solution. A custom-built technology environment can be designed, developed, and deployed to meet the specific needs of the Department. A commercial available solution may be used for smaller components in the reengineering in which the Department may not have the required expertise.

Additional advantages of this approach include:

- System will be built to integrate easily with other third-party systems and existing systems
- Minimizes the cost associated with upgrades and customization of commercial software
- Features built that are unique to current business processes
- Subject matter experts provide input on developing the system
- Higher quality of support for the software dealing directly with developers in-house

- **Alternative 3 – COTS/MOTS/Transfer**

Implement new business processes supported by a technology environment with forward looking business functionality/rules while limiting the risk associated with a custom build system.

This alternative requires the Department go through the State's purchasing process to procure the commercially available solution that most closely aligns with the needs of the Department and contract with a vendor to configure and / or customize the solution. The

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

commercially available solution must also be integrated with 3rd party applications and point solutions to meet the Department's needs. Several existing components of the current technology environment (e.g. web services) may also be configured with the commercially available solution. Some business processes must be modified to accommodate the system's approach, though the majority will be met by, or configured to meet, the existing core functionality.

**2. Rationale for Selection**

To select the option communicated below, potential solutions were evaluated against their likelihood to deliver the functionality, risk in implementing, estimated cost, and estimated implementation timeframe. Migration of most issuance services to tax collectors is underway already, and the Department has implemented its revised organizational structure. Also a great deal of consideration was given to the lessons learned from other states that have embarked on efforts to re-engineer all or portions of their legacy systems. The Department also consulted with AAMVA for their detailed knowledge of member jurisdictions' activities.

**3. Recommended Technical Solution**

The Department recommends replacing some of the older legacy applications and back-end mainframe-based processes with custom developed software systems. Custom development gives the Department the best chance to implement a system that will be beneficial to all stakeholders. This approach will ensure that the system will be built according to the requirements, laws, rules, and policies of DHSMV and the State of Florida. Risk is associated with any project; however, management of risk, regardless of the approach, will require diligent project management and careful requirements analysis. The Department is confident that custom development provides the best opportunity for success.

**a. Redesign Database Structure and Implement Data Quality Controls**

Motorist Modernization – Phase II incorporates the Phase I database redesign as the foundation on which the proposed solution is built. This effort is critical to the success of building a consolidated, customer-centric database from which all future systems are developed. By redesigning the database, the Department can eliminate inefficiencies, redundancies, and discrepancies present in the current database implementations and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion. The core of this new database design will be a unified customer centric model which will contain all details to support all areas of Motorist Services business.

The new design will require the addition of Motor Vehicle specific data elements into the physical database supporting Motor Vehicle activities. In addition to the merge, some structures will be implemented to support improved data quality. All elements requiring significant change will require synchronization processes between the new and pre-existing models to ensure that all existing applications remain functional.

This model will support all Agency activities going forward. In the near term, this will include the re-engineered MyDMV and FRVIS. The life expectancy of the data model is closely related to the usage of those systems.

Implementing this data model will utilize existing Oracle licensing and administrative resources. New subject areas will be deployed adjacent to existing legacy data schema to better facilitate synchronization efforts. Also, there will be an emphasis on utilizing the Department's highest available version of the Oracle database software for improved feature usage and vendor support.

This effort will require the following software:

- Oracle Database
- CA Erwin Data Modeler Workgroup Edition
- Blueprint
- Database Synchronization tool with real-time and Change Data Capture (CDC) capabilities

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****b. Replace Florida Real-Time Vehicle Information System (FRVIS)**

The first subsystem is the replacement of the Florida Real-time Vehicle Information System (FRVIS) and its underlying subsystems. Re-engineering FRVIS will ensure maintainability, as the availability of staff that has experience with the proposed solution's base technologies is growing, whereas the availability of staff to maintain the as-is system with its current technologies is shrinking drastically. Moving to a system based on best practices with proven technologies such as a .NET programming language with a service-oriented architecture (SOA) provides the application flexibility to adapt, increases maintainability, and allows room for expansion with minimal changes to the current application when future requirements are added to comply with changing business needs and legislatively enacted policies.

The redesign of the FRVIS application uses a modular component strategy. This design gives flexibility for each component through an interface-based design principle. The individual components of the system are described below:

- 1) **Web Services** - The FRVIS system will be built using a Service-Oriented Architecture pattern. This involves breaking out the base logic from the application into reusable pieces and provided as services. This design also allows for adding additional front-end applications to consume the same services if a different style application is determined to be needed. A new application can reuse business logic embedded in the service layer, saving the need to re-engineer the business logic, validation logic, and consolidating all the associated concerns across related applications into one area.
- 2) **Client Application** – Chosen for the ability to leverage the built in power of the operating system and also for the ability to access local hardware, the client application installed on the workstations was designed and implemented as part of Phase I and utilizes a Single Page Architecture (SPA) architecture.
- 3) **Web Applications** – Pieces of the application that require no local hardware interaction will take advantage of the lower cost of maintenance and deployment associated with a web application. Administration of the users and reporting can all be accomplished in part or whole through a web application.
- 4) **Database** – Storage of the data in a relational database is an industry standard and best practice. The current relational data model is not based on best practices and will be upgraded when possible while maintaining interoperability with other internal and external systems that rely on the data captured by the FRVIS application.
- 5) **Data Warehouse for Reporting** – To keep the data in a format that focuses on reliability and maintainability, the reporting on the data will be done from a data warehouse which formats the data to provide fast and accurate reporting without compromising the data that the agency applications rely.

The proposed replacement to FRVIS is designed as a web-based application. The application relies on the connection to the data center to operate. The application will be deployed in two networking environments:

- 1) **DHSMV offices** - connected through the secure Department network already established.
- 2) **Tax Collector offices** - connected through local maintained networks, secure Department networks, and secure internet connections.

All development will occur in-house using FTE and support services vendor resources. Development will be based upon the Microsoft .NET environment with Oracle, Microsoft SQL Server databases and CouchBase as data stores. The development methodology will be a hybrid (Agile /Waterfall) approach. All high-level requirements will be gathered up-front using a waterfall-style approach.

The proposed FRVIS replacement design will use a series of interfaces to accomplish the decoupled SOA design. In line with an SOA approach, internal services will be used between applications and the databases that store application data. Business services will be used in both

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

client-server applications and web-based applications for the separation of concern.

Microsoft .NET and the proposed databases are mature and being used worldwide. The Service Oriented Architecture (SOA) approach allows for ease of maintenance, isolation of tasks, and seamless upgrades.

**c. Development of a Fleet Management System**

The Department will create a new subsystem that will allow participants to manage the title and registration activities for all fleet vehicles electronically. These activities include renewing all expiring registrations at one time, title and register vehicles electronically, report vehicles sold and manage fleet records.

**d. MyDMV Portal**

The MyDMV web portal is the next step in customer interaction directly with the Department. This will allow users to log into an account created for them and manage a majority of their motor vehicle interaction with the agency. This will create a convenience for each customer by providing a user-based login system. Having a particular user logged in will allow the system to be tailored to the tasks a specific user has available for a more personalized experience. This access management system will also support federation with external Identity Providers and allow customers to have a single sign-on experience across the Department's portal functions. Improved auditing functionality will improve transparency for the Department and its customers. The MyDMV portal will also serve as a platform for future development when additional customer-facing features are required.

The MyDMV portal application is an external application available to customers through the internet. Since this application will deal with protected user data, all communication will be encrypted in compliance with the ISA security policy.

- Internal - Internal interfaces will be provided through web services for data access and modification for integration with other existing applications.
- External - External interfaces will be provided through the Department's external public-facing web server.

The technologies this project builds on are of the highest maturity level. The tools selected for developing the proposed solution are best in class and overall industry confidence is high based on past and present performance. Oracle is a proven name in storing relational data, with support options that allow DHSMV to operate with a low risk factor. Designing with a Service-Oriented Architecture allows for flexibility and ease of maintenance for a system planned to be in production for many years.

The MyDMV web portal comprises these components based on a decoupled SOA.

- 1) Web Application – The web application portion of the system is what external customers can access. This will provide access to the functions provided by the Department based on what is available to that user.
- 2) Web Services – Data access from the system will be provided through internal web services. These services will also encompass reusable business logic that will reduce duplication of system functions.
- 3) Batch Jobs – Parts of the MyDMV portal system cannot be completed in real-time and must be run on scheduled batch processes. This also includes integration with already existing systems that provide batch processes.
- 4) Payment services – Some functions provided by the Department also have associated fees. These fees must be collected before any transactions can be completed.
- 5) Fee Engine Integration – Used to determine the fee to be charged for a service.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****D. Proposed Solution Description****1. Summary Description of Proposed System**

The proposed solution design extends the service-oriented architecture (SOA) design provided by Phase I that provides a solid yet flexible foundation and customer-centric database redesign on which the solution can be developed. The proposed solution consists of the components identified in the following matrix:

Component	System Type	Technology	Connectivity	Security / Privacy Considerations	Development / Procurement Approach	Internal / External Interfaces	Maturity / Longevity of Technology
Database Redesign	Database	Oracle RDBMS	Internal	ISA Security Policy / Limited access	In-house development	All DHSMV Systems Tax Collectors Field Offices	High
FRVIS	Internal Client Application With Internal Service Interface	Microsoft .NET (C#) Oracle RDBMS Web Services	Thin Client / Web / Web Services	ISA Security Policy / Limited access / Partner Authentication	In-house development	All DHSMV Systems Tax Collectors Field Offices	High
MyDMV Portal	External Website / Internal Web Services	Microsoft .NET (C#) Microsoft SQL Server Oracle RDBMS	Internet / Web Services	ISA Security Policy / Limited access	In-house development	Public MV Related System Functionality	High
Fleet Management System	Internal COTS	Unknown	Web Services	ISA Security Policy / Limited access	Vendor Solution / COTS	All DHSMV Systems Tax Collectors	High

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

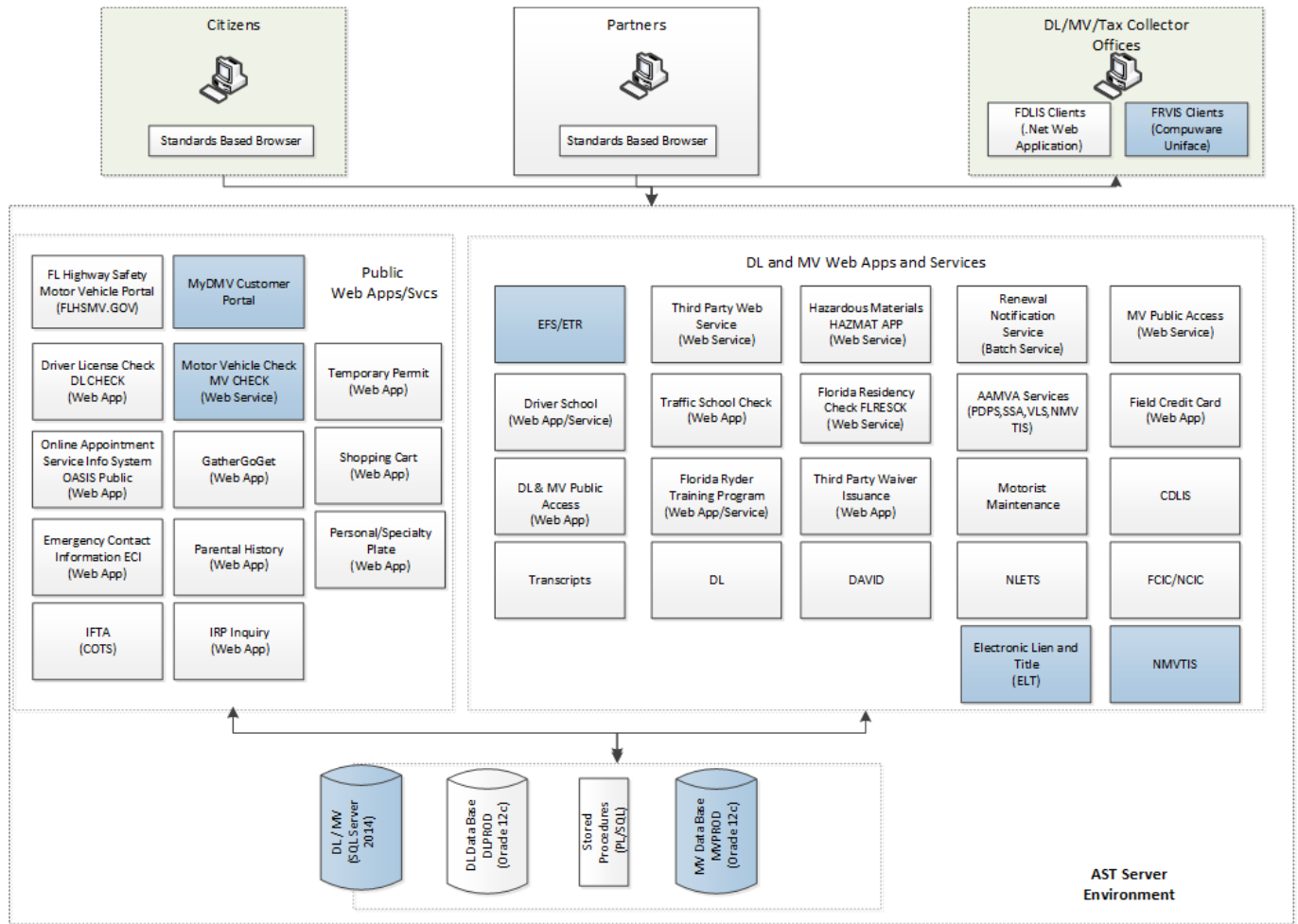


Figure 5-10 – To-Be System Overview

**2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)**

The Department’s current technical architecture standard is based on Microsoft’s .NET framework, Microsoft’s SQL Server relational database, Service-Oriented Architecture (SOA), and web-based customer facing interfaces.

Motorist Modernization – Phase II will require staff augmentation in the Service Development bureau to assist with developing components of the system. As we proceed with development with a customer centric database, the Department will also require the technical skills of an experienced data architect.

Motorist Modernization – Phase II will be achieved through a phased, iterative approach over six years.

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

### E. Capacity Planning (historical and current trends versus projected requirements)

Capacity planning is the discipline to ensure the IT infrastructure and applications are in place at the right time to provide the right services at the right price. All new applications should be architected to plan for future Motorist Systems modernization projects, developed utilizing modern, standards-based platforms, and built for maximum flexibility and expansion.

Most capacity metrics based on the existing technical architecture are not applicable to the new Service Oriented Architecture used for implementing this second phase of Motorist Modernization. The field client server architecture that supports current FRVIS functionality will be eliminated. The existing server and database platforms housed in the data centers is, in most cases, over six years old and needs to be replaced. In collaboration with the state data centers, the Department has started an initiative to replace the aging hardware and leverage newer modern hardware architectures and virtualization.

It is assumed that the high level business processes (and therefore the number of transactions) will not vary as part of this modernization phase. The new applications are being developed to work within the current network WAN architectures and bandwidth. Where applicable, existing network usage has been calculated and considered with the design of the new system.

The new services will be developed to be hosted on the Department's current .NET application clusters. These clusters are virtualized and hosted at the AST. The platforms have been configured to easily scale out by adding additional servers to the clusters as needed. These clusters are being refreshed to the latest available Windows Server operating system and configured with enough capacity to support any foreseeable Department initiatives.

This second phase of Motorist Modernization will require a separate Oracle database instance for development, which has been completed as a part of Phase I. The initial capacity requirements to support development and test will be minimal, but are expected to increase as development progresses and additional services are transitioned from the legacy client server system to the new SOA architecture.

Table 5-5 - Number of Transactions Processed below demonstrates the large volume of business transactions processed through the current systems annually:

Number of Vehicle Registrations transactions processed through FRVIS (not including mobile home and vessel transactions)	21.2 Million
Number of titles issued for motor vehicles, manufactured homes, and vessels through FRVIS	6 Million
Number of IFTA Decals issued	58,908
Number of IFTA Tax Returns processed	57,810
Number of IRP Plates issued	45,344
Number of Dealer and Manufacturer Licenses issued through FRVIS	13,896
Number of Motor Vehicle and Manufactured Home Consumer Complaints investigated using FRVIS	4,486
Number of driver license transactions processed over the Internet	761,088

**Table 5-5 - Number of Transactions Processed**



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****VII. Schedule IV-B Project Management Planning**

To manage the components of the Motorist Modernization program, the Department utilizes a project management framework based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK). Please see the following appendices for more information:

Appendix B – Project Management Plan, last updated 09/30/2016

Appendix C – Project Schedule

Appendix D – Project Risk Register

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II****VIII. Appendix A: Acronyms**

<b>Acronym</b>	<b>Description</b>
AAMVA	American Association of Vehicle Administrators
ADLTS	Automated Driver License Testing System
API	Application Programming Interface
AST	Agency for State Technology
BIO	Bureau of Issuance and Oversight
BOR	Bureau of Records
CCIS	Clerk of Court Information System (new system that replaces DRC1)
CDL	Commercial Driver License
CDLIS	Commercial Driver License Information System
CICS	Customer Information Control System
CIPS	Central Issuance Processing System
CRS	Cashier Receipt System
DAVID	Driver And Vehicle Information Database
DBMS	Database Management System
DHS	Department of Homeland Security
DI	Driver Improvement
DL	Driver License
DOR	Department of Revenue
DOS	Department of State

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

Acronym	Description
DPPA	Driver Privacy Protection Act
DRC1	Driver Record Court (old Clerk of Court information system)
DRIVE	Driver Related Issuance and Vehicle Enhancements
DUT	Driver Uniform Ticket (Traffic)
EFS	Electronic Filing System
EREC	Electronic Repository of Executed Contracts
FAME	Financial Accounting Management Exchange
FCCC	Florida Court Clerks and Comptrollers
FDLIS	Florida Driver License Information System
FHP	Florida Highway Patrol
FRVIS	Florida Realtime Vehicle Information System
HTO	Habitual Traffic Offender
HTTPS	Hypertext Transfer Protocol Secure
IES	Information Exchange Services
IFTA / IRP	International Fuel Tax Agreement / International Registration Plan
IID	Ignition Interlock Device
ISA	Information Systems Administration
IVR	Interactive Voice Response
MV	Motor Vehicle
OASIS	Online Appointment Service and Information System

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

PDC	Primary Data Center
<b>Acronym</b>	<b>Description</b>
PDL	Property Damage Liability
PIP	Personal Injury Protection
SAVE	Systematic Alien Verification for Entitlements
SFTP	Secure File Transfer Protocol
SLA	Service Level Agreement
SOA	Service Oriented Architecture
SSA	Social Security Administration
TCATS	Traffic Citation Accounting Transmittal System
UI	User Interface
USCIS	United States Citizenship and Immigration Services Verification
UTC	Uniform Traffic Citations
VLS	Verification of Lawful Status

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**IX. Appendix B: Project Management Plan**



## **Motorist Modernization Program**

Information Systems Administration ♦

Office of Motorist Modernization ♦

Program Management Plan  
Version 1.0

**Motorist Modernization Program**

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**File Information**

**File Location:** All program artifacts will be maintained in the [MM project control book \(PCB\)](#) and in the project portfolio management (PPM) tool.

**Revision History**

Date	Version	Revised By	Description
9/30/2016	1.0	K. Green	Initial Draft

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## 1. Purpose of Document

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This Program Management Plan (PMP) provides guidelines for the Motorist Modernization program identifying the:

- Purpose of Document
- Background and Business Need
- Assumptions and Constraints
- Program Scope and Methodology
- Critical Success Factors and Program Benefits
- Program Organization
- Human Resource Management
- Cost Management
- Time Management
- Risk and Issue Management
- Change Management
- Quality Management
- Communications Management
- Document Management
- Organizational Change Management
- Configuration Management
- Vendor Management
- Common Acronyms & Terms
- Signature and Acceptance Page

The Program Management Plan (PMP) is a “living” document that is prepared early in the Planning Phase of the program. The PMP identifies key elements of the program management strategy and the high level activities and deliverables of the program.

## 2. Background and Business Need

The Motorist Services program within the Department of Highway Safety and Motor Vehicles supports the issuance of approximately five million driver licenses/identification cards and 24.5 million motor vehicle titles and registrations in Florida annually. These services provide more than \$2.4 billion in State revenues, which is then distributed to General Revenue, the Department of Transportation, the Department of Education, the Law Enforcement Radio Trust Fund, the Department, and others. The Department is one of the largest revenue sources of the state's general revenue funding.

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The Department has been issuing licenses and registering vehicles as a consolidated agency since 1969 when the Governmental Reorganization Act combined the Florida Department of Public Safety and the Department of Motor Vehicles, but since that time the department never combined the two functions. Separate divisions handled driver license issuance and motor vehicle registrations in separate offices using separate computer systems, even though they served the same customers who usually needed both services. Business needs did not dictate that the divisions integrate their data, standardize processes or provide self-service opportunities. Business process ownership and supporting technology operated in silos, and additional system functionality was developed sporadically or hastily in response to legislative mandates.

During the last two decades, critical changing business needs have caused the Department to move to a more integrated motorist services environment. For years, the concept of a "one-stop shop" has been discussed, and the Department has taken steps towards implementing this starting in 1996 when the Department began partnering with county tax collectors to provide some driver license issuance services in addition to titles and registrations. Some improvements to systems were made to increase ease of use by the tax collectors (such as allowing the use of an external cashing system), but the systems were not significantly changed.

The next definitive action started in 2009 when the Department began to merge and centralize various administrative and shared functions and defined a plan to merge the two divisions into one division. The 2010 Legislature approved a plan to migrate most driver license issuance services to the tax collector offices and reduce the number of state-operated driver license offices by 2015. As a result, the Division of Motorist Services was created.

Numerous applications and processes have been developed over time as required; however the silo (legacy) structure still exists today. In addition to agency systems, the Department has partnered with outside vendors that support different functions associated with driver licenses and motor vehicle titles and registrations. Expanding the Department's partnerships and finding efficiencies in service delivery and re-engineering older legacy systems are core strategies to meeting the Department's strategic goals.

In 2014, the Department began the process of modernizing legacy driver license systems. The modernization of the driver license system will provide significant improvements that will increase and enhance customer service and also create a customer portal that will provide an additional customer service option in which customers can perform some driver license services online.

As the Department continues additional phases of modernization, the goal is to unify driver license and vehicle registration systems to simplify office visits and expand online services for our customers. During Phase II of modernization the Department will continue to reduce duplicative processes and continue to increase the efficiency and effectiveness of service.

**Motorist Modernization Program**

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As stated in the Department's strategic plan, the Department seeks to:

- Protect the lives and security of our residents and visitors through enforcement, service, and education
- Provide efficient and effective services that exceed the expectations of our customers and stakeholders
- Leverage technology in the way we do business
- Build a business environment that regards our members as our most valuable resources

The Department created the Office of Motorist Modernization to manage this effort from a technology perspective. Major activities include planning and managing all functions related to the delivery of the new motorist systems program roadmap, data modeling, motorist business application architecture, requirements management, and modernization of the motorist information technology systems to align with the current organizational structure and business processes of the new Motorist Services Division. This effort will leverage technological advances in the software, hardware and network arenas to provide faster and more effective computing solutions.

## 3. Assumptions and Constraints

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### 3.1. Assumptions

The Department operates in a regulated environment and is subject to numerous State and Federal statutes and rules as well as professional standards relating to data protections and integrity. These requirements will need to be carefully considered during requirement analysis and eventual system selection.

- The program objectives will be one of the Department's top priorities under the direction of the Office of Motorist Modernization.
- The business partners in DHSMV will provide the necessary resources to participate when needed. If requested resources are not available, a knowledgeable replacement will be provided.
- This program will have executive and senior level management support.
- The program will implement a governance structure and follow the procedures set forth in the documented Decision Escalation Matrix in Section 6.7.
- Any changes that introduce risk to the program must be approved by the ESC. All changes will be reported to Department Governance and documented and stored with program artifacts.
- This program will use a combination of Department staff and contracted support.
- This program will use a blended waterfall-agile project management methodology.
- Required funding will be approved
- The Motorist Modernization Program will use a service-oriented architecture (SOA) in a Microsoft .NET framework.

### 3.2. Constraints

- There are several other projects that will compete for resource availability.
- The Motorist Modernization Program depends upon the successful and timely completion of associated projects.
- Difficulty obtaining funding for the program, resource constraints and general economic disturbances could restrict the ability of the team to complete the scope of this program during the desired time frame.
- Resource availability due to high rate of attrition within the Department.
- Implementation of program objectives will be heavily dependent on the acquisition of knowledgeable resources and/or training provided to bring current resources up to speed.
- Priority shifts and/or legislative mandates could have an impact on the ability of the program to achieve stated objectives.
- Dependency on the cooperation and availability of external stakeholders may impact the ability of the program to achieve stated objectives.
- Advances in technology can cause program delays due to lack of knowledge of the new technology, availability of training or availability of resources with experience in the new technology.

## 4. Program Scope and Methodology

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### 4.1. Scope Statement

The Motorist Modernization – Phase II Program, beginning in July 2017 and running for approximately six years, will alleviate the immediate support burden to Motorist Services business operations through the following:

- **Redesign database structure and implement data quality controls.** The Department recognizes the need to implement controls to support data quality. By redesigning the database, the Department can eliminate inefficiencies, redundancies and discrepancies present in the current database implementations and build a central repository of accurate data, free of duplications and errors and available for reporting in a timely fashion.
- **Replace the Florida Real-Time Vehicle Information System (FRVIS) and supporting systems.** FRVIS is a client/server application deployed in the tax collector and regional department offices statewide to support the motor vehicle issuance process workflow. In order to stay interoperable with the changes to the underlying database, the batch processes that maintain motor vehicle records and FRVIS must be upgraded in unison. The FRVIS system includes the following subsystems:
  - **Titles:** Subsystem that is used to provide titling service such as original title, duplicate title and title transfers.
  - **Registrations:** Subsystem that is used to provide registration services to customers including issuance of an original, renewal, replacement, and duplicate registration.
  - **Inventory:** Subsystem that is used to track and manage issuance of inventory, such as decals, title paper and license plates.
  - **Vehicle Inspections:** Subsystem that is used to support inspection of rebuilt motor vehicles, mobile homes or motorcycles previously declared salvage or junk.
  - **Disabled Persons Parking Permit Placards:** Subsystem that is used to provide original, temporary or subsequent parking permit placards to customers.
  - **Dealer Licensing / Consumer Complaints:** Subsystem that is used to support the regulation of licensing of motor vehicle dealers and manufacturers, and track consumer complaints.
  - **Mobile Home Installer:** Subsystem that is used to support the installation of mobile homes, manufactured homes and park trailers and for the manufacture of components, products, or systems used in the installation of mobile homes, manufactured homes and park trailers.
  - **International Fuel Tax Agreement / International Registration Plan (IFTA/IRP):** IFTA is the subsystem that is used to support an agreement between states and Canadian provinces to simplify the reporting of fuel use by motor carriers. IRP is the subsystem used to support the reciprocal

#### Motorist Modernization Program

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agreement that authorizes the proportional registration among the jurisdictions (states) of commercial motor vehicles.

- **Development of a Fleet Management System.** The Department will create a new subsystem that will allow participants to manage the title and registration activities for all fleet vehicles electronically. These activities include renewing all expiring registrations at one time, title and register vehicles electronically, report vehicles that have been sold and manage fleet records.
- **MyDMV Portal.** The Department is creating a new customer portal as part of Phase I of Motorist Modernization. The new customer portal replaces GoRenew.com the Department's current self-service portal also known as "Virtual Office" which provides limited access to services for motorists. In attempting to establish better authentication practices, ease of use has been significantly impaired. During Phase II of motorist modernization the Department will continue to add functionality focusing on motor vehicle services to the MyDMV Portal that will allow motorists to access more services, allowing citizens to interact with the Department via this self-service portal.
- **Expanded use of a single fee engine across all applications.** Over time, different fee calculation routines have been inserted into motorist services systems. The Department now maintains a dozen different fee calculation routines, resulting in months of staff time allocated when fee changes are made. As part of the Driver Related Issuance and Vehicle Enhancement (DRIVE) project, the Department developed a fee engine that supports the Electronic Filing System (EFS). As part of Motorist Modernization Phase II, all motor vehicle fees will be implemented in the new fee engine.

Implementation of Motorist Modernization Phase II will allow the Department to improve customer service, meet the needs of the tax collectors performing issuance activities, increase data availability and quality, expand the ability to integrate with business partners and better support public safety.

Any changes to the scope of this Program must follow the change management plan, be approved by the Executive Steering Committee (ESC), and reported to Department Governance. The approval will be kept with the program artifacts.

## Motorist Modernization Program

**4.2. Program Deliverables**

The following table contains a preliminary list of program deliverables which will be updated accordingly. Projects conducted in the program will include a separate and specific list of project deliverables with corresponding completion and acceptance criteria.

Deliverable Name	Completion and Acceptance Criteria
Program Charter	A document authored by the Program Manager and issued by the Program Sponsor authorizing the Program Manager to apply resources to program activities.
Program Management Plan (PMP)	A document authored by the Program Manager and approved by the Executive Steering Committee providing the guidelines and procedures by which the program will be administered and managed.
Risk, Issue, & Action Registers	Prioritized list of identified risks and actual issues during the program.
Change Log	List of all change requests approved by the appropriate governing body.
Status Reports and Meeting Actions	Record of program status delivered and decisions/actions taken.
Meeting Minutes	All decisions made during meeting will be documented and accepted during the meetings.
Program Schedule	An agreed upon schedule by members of the program team. This is also referred to as the Integrated Master Schedule (IMS).
Schedule IV-B	Feasibility study detailing the plan, objectives, cost-benefit analysis, and risks for specific program initiatives for the upcoming fiscal year.
Legislative Budget Request (LBR) for Program Costs	Identify items, their costs, and narrative to explain why items are required for the program initiatives.
Request for Quote (RFQ) for required services	Formal request to hire vendor assistance for staff augmentation, etc.
Request for Information (RFI)	Formal request for more detailed information and specification from vendors offering specific products and services critical to modernization.
Support Services Vendor Deliverables	Deliverables developed in accordance with the program's support services vendor contract.

### **4.3. Program Exclusions**

Anything not explicitly stated in the scope of this program is implicitly excluded.

### **4.4. Program Methodology**

The Motorist Modernization Program will utilize the DHSMV Information Systems Development Methodology (ISDM) to complete program activities. The DHSMV ISDM utilizes **both waterfall and agile methodologies** for specific activities within the program.

#### **4.4.1. Waterfall Methodology**

A waterfall approach will be taken to manage certain activities and deliverables that have a natural progression and interdependency on each other. Examples include the development and documentation of the project charter, project management plan, resource on-boarding, project kick-off, etc.

As the Program progresses, the waterfall methodology will be used to formalize the outcomes of the legacy system as-is reviews, gap analysis work, database design activities and development preparation. These deliverables will be constructed by gathering or creating documents, evaluating the legacy system COBOL and PL/SQL programs as well as various discussions surrounding the existing database synchronization structure and challenges. These tasks are laid out in a traditional waterfall approach, having a natural order with predecessors and successors clearly defined within the program schedule.

The overarching ISDM has a multitude of stage containment activities. There is an evaluation of the Program's progress at various points to ensure work has been completed and stakeholder approval has been achieved in order to proceed to the next stage of activities.

#### **4.4.2. Agile Methodology**

The Motorist Modernization program leverages the agile methodology in recognition that the business rules and requirements for all projects will continue to be refined in an iterative manner leading up to development. With a multitude of stakeholder groups, the agile approach allows representatives to prioritize their requirements and business needs, formulate user stories, document epics and do so on a planned, incremental basis.

With the agile methodology, a group of project members forms a "Scrum Team". This will be a collection comprised of internal stakeholders, customers (or their representatives), a product owner, the development team and a Scrum Master. As requests are gathered from the stakeholders, a "Backlog" is formed and inventoried. Sprints are then planned to take focused requests from the backlog and develop a reviewable work product.



## 5. Critical Success Factors and Program Benefits

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### 5.1. Critical Success Factors

Critical success factors for the Motorist Modernization program are specific circumstances that must be in place to ensure delivery of the stated program objectives. These include:

- The program will be the Department's top priority under the direction of the Office of Motorist Modernization.
- DHSMV will provide the necessary resources to participate when needed. If requested resources are not available, a knowledgeable replacement will be provided.
- The program will implement a governance structure and follow the procedures set forth in the documented Decision Escalation Matrix in Section 6.7.
- Any changes that introduce risk to the program must be approved by the ESC. All changes will be reported to Department Governance and documented and stored with program artifacts.
- Required funding will be approved.
- The program will achieve stakeholder buy-in and support.
- The program team will meet key milestone deadlines set forth in the Integrated Master Schedule (IMS).
- The program team will follow the management procedures set forth in this document.

### 5.2. Benefits Realization Table

The Benefits Realization Table describes the benefits which accrue from the Motorist Modernization program implementation, including estimated values computed for the tangible benefits. The tangible benefits are assessed against business conditions and are conservatively estimated. This information may be obtained from the Schedule IV-B for Motorist Modernization. The Benefits Realization Table will be reviewed each year during the Legislative Budget Request process and updated as needed in the Schedule IV-B submitted each year.

## 6. Program Organization

This section details the high-level program organization, roles and responsibilities, and also details the high-level program team structure. The program blends dedicated full-time staff with staff augmentation to address both the short-term objectives and the long-term support of the program.

### 6.1. Program Organization High-Level Overview

Figure 6-1 shows the program organization and the relationship between its components.

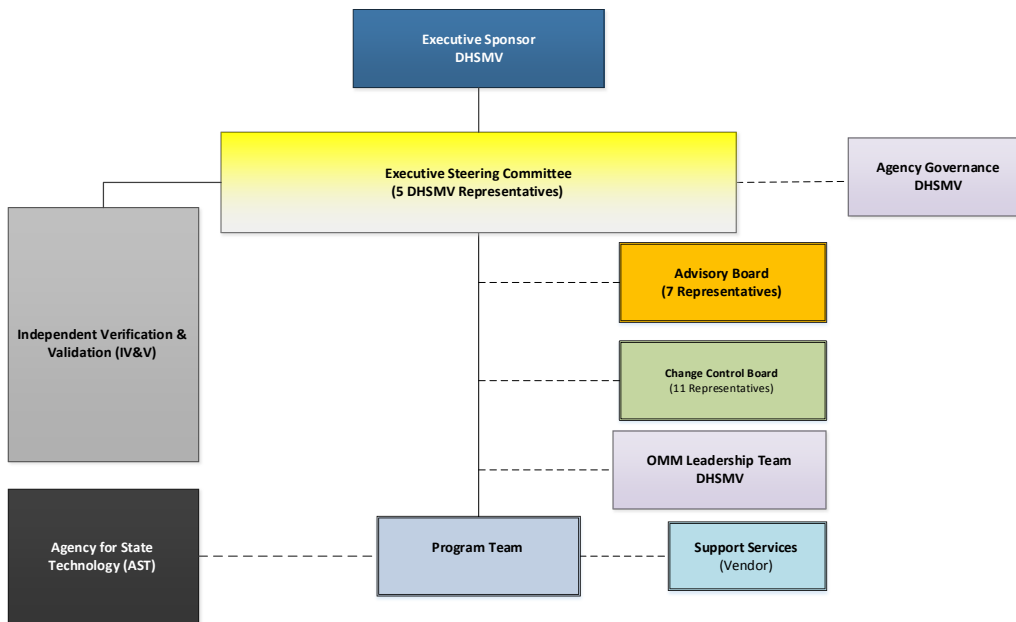


Figure 6-1 – Program Organization

**6.2. Executive Steering Committee**

Figure 6-2 illustrates the Executive Steering Committee members. For more information about the ESC, please refer to the committee's charter located in the program's PCB.



**Figure 6-2 – Executive Steering Committee**

### 6.3. OMM Leadership Team

Figure 6-3 illustrates the OMM Leadership Team members.

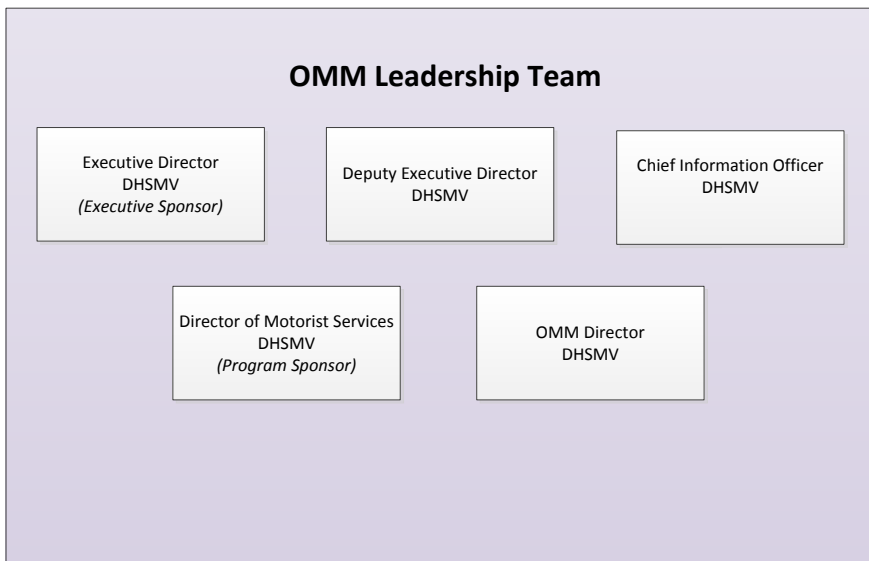


Figure 6-3 – OMM Leadership Team

Motorist Modernization Program

**6.4. Decision Escalation Matrix**

The Motorist Modernization program includes a governance structure that serves as the foundation for all program-related decisions. The following decision escalation matrix identifies the governing bodies, roles, and responsibilities by priority level.

Governance Body	Schedule	Scope	Budget	Risks / Issues	Resources
	<i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i>	<i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i>
<b>HIGH PRIORITY ITEMS</b>					
<p style="text-align: center;"><b>ESC</b></p> <p><i>Ensure the program meets overall objectives and:</i></p> <ul style="list-style-type: none"> <li>- Provide management direction and support to the program management team;</li> <li>- Assess the program's alignment with the strategic goals of the department;</li> <li>- Review and approve or disapprove high-priority changes to the program's scope, schedule and costs;</li> <li>- Review, approve or disapprove and determine whether to proceed with any major program deliverables; and</li> <li>- Recommend suspension or termination of the program (or any of its sub-project initiatives) to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved.</li> </ul>	<ul style="list-style-type: none"> <li>- Missed phase gate.</li> <li>- Schedule variances that will impact the IMS baseline (warranting re-baseline).</li> <li>- Significant schedule slippage that may include missing key deliverables or milestone dates.</li> <li>- Schedule variances that will cause a delay in work along the critical path.</li> <li>- SPI trending &lt; 0.90 (+/- 10%).</li> </ul>	<ul style="list-style-type: none"> <li>- Changes in scope that impact the overall program definition and direction.</li> <li>- Legislative and/or Policy directives.</li> <li>- Unstable program scope.</li> <li>- Deferral of functionality with impact to business objectives.</li> <li>- Go/No-Go decision point.</li> </ul>	<ul style="list-style-type: none"> <li>- Spending over/under budget for an established reporting period (+/- 10%).</li> <li>- Changes to the overall program budget (allocation, distribution, etc.).</li> </ul>	<ul style="list-style-type: none"> <li>- Escalating or new risks that will most likely impact the success of the program.</li> <li>- Escalating or new issues that are impacting the success of the program.</li> </ul>	<ul style="list-style-type: none"> <li>- Enterprise (cross-program / department) staffing and resource management (allocations).</li> </ul>

**Motorist Modernization Program**

<b>Governance Body</b>	<b>Schedule</b>	<b>Scope</b>	<b>Budget</b>	<b>Risks / Issues</b>	<b>Resources</b>
<p><b>Motorist Modernization Advisory Board</b> Provide input and strategic guidance to the Program Director and the ESC to assist in decision making.</p>	<p>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</p>	<p>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</p>	<p>Decisions involving the creation and management of the Motorist Modernization Program Budget.</p>	<p>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</p>	<p>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</p>
<p><b>DHSMV Governance</b> Executive Governance Committee (Tier 3) that approves and monitors projects that meet any of the following:  <ul style="list-style-type: none"> <li>- \$1M or greater</li> <li>- Grant Funded/Legislative Funding</li> <li>- Enterprise initiatives</li> <li>- Integration with external entities or other agencies</li> <li>- Confidential information will be shared with external entities or agencies</li> <li>- Large multi-year</li> <li>- Critical timelines</li> </ul> </p>	<p>Input and guidance (recommendations) to ESC.</p>	<p>Input and guidance (recommendations) to ESC.</p>	<p>Input and guidance (recommendations) to ESC.</p>	<p>Input and guidance (recommendations) to ESC.</p>	<p>Input and guidance (recommendations) to ESC.</p>
<p>Review and monitoring.</p>	<p>Review and monitoring.</p>	<p>Review and monitoring.</p>	<p>Review and monitoring.</p>	<p>Review and monitoring.</p>	<p>Review and monitoring.</p>

**Motorist Modernization Program**

<b>Governance Body</b>	<b>Schedule</b>	<b>Scope</b>	<b>Budget</b>	<b>Risks / Issues</b>	<b>Resources</b>
	<i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i>	<i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i>
<b>MEDIUM PRIORITY ITEMS</b>					
<p><b>Program Director</b>                      In consultation with the OMM Leadership Team and Change Control Board  <i>Provide daily planning, management and oversight of the program.</i></p>	<ul style="list-style-type: none"> <li>- Isolated schedule slippage. Impact &gt;5 working days to 10 working days and can be managed within the working team (unless on the critical path).</li> <li>- Schedule variances that <u>will not</u> cause a delay in work along the critical path.</li> <li>- Schedule variances that <u>will not</u> significantly impact the IMS baseline (not warranting re-baseline).</li> <li>- Decisions that affect a dependency external to the program.</li> </ul>	<ul style="list-style-type: none"> <li>- Minor changes to program scope (or requirement delays) that can be managed within the working team. Workaround exists.</li> </ul>	<ul style="list-style-type: none"> <li>- Spending over/under budget for an established reporting period (+/- 5%).</li> <li>- Impact can be managed within the program budget.</li> </ul>	<ul style="list-style-type: none"> <li>- New risks and issues do not pose a significant threat to program success and can be managed within the working team.</li> </ul>	<ul style="list-style-type: none"> <li>- Inter-program resource management (allocations).</li> </ul>
<p><b>Motorist Modernization Change Control Board</b>  <i>Provide input and strategic guidance to the Program Director, Advisory Board and the Executive Steering Committee to assist in Agile Management-related decision making.</i></p>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>	<i>Input and guidance (recommendations) to ESC.</i>

**Motorist Modernization Program**

Governance Body	Schedule	Scope	Budget	Risks / Issues	Resources
	<i>Decisions involving the creation and management of the Motorist Modernization Program Integrated Master Schedule (IMS). Includes intra-Program and cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the Motorist Modernization Program Scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the Motorist Modernization Program Budget.</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of Motorist Modernization Program objectives.</i>	<i>Decisions involving the acquisition and management of the Motorist Modernization Program Resources.</i>
<b>LOW PRIORITY ITEMS</b>					
<p><b>Project Manager(s)</b> In consultation with the Program Manager  <i>Provide daily planning, management and oversight of the program's sub-project initiatives.</i></p>	<ul style="list-style-type: none"> <li>- Impact 5 business days or less and can be managed within the sub-project working team (unless on the critical path).</li> <li>- Schedule variances that <u>will not</u> cause a delay in work along the critical path.</li> <li>- Schedule variances that <u>will not</u> significantly impact the project schedule baseline (not warranting re-baseline).</li> <li>- Decisions that affect a dependency internal to the project.</li> </ul>	<ul style="list-style-type: none"> <li>- Minor changes to sub-project scope (or requirement delays) that can be managed within the working team. Workaround exists.</li> </ul>	<ul style="list-style-type: none"> <li>- Impact can be managed within the sub-project working team.</li> </ul>	<ul style="list-style-type: none"> <li>- New risks and issues do not pose a significant threat to sub-project success and can be managed within the working team.</li> </ul>	<ul style="list-style-type: none"> <li>- Inter-project resource management (allocations).</li> </ul>



**Motorist Modernization Program**

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**6.5. RASCI**

The Program uses a modified stakeholder matrix to identify program stakeholders and assign the appropriate attribute as it relates to roles on the program:

- Responsible
- Accountable
- Support
- Consulted
- Informed



RASCI  
Matrix\_v3.0.pdf

**6.6. Program Team Roles and Responsibilities**

The following table identifies specific roles and responsibilities of the Program. The aforementioned RASCI identifies additional groups within the Department that provide Program support.

Motorist Modernization Program

Role	Responsibility
Executive Sponsor (member of ESC)	Champion the program while providing leadership and guidance in the overall success of the program.
Program Sponsor (member of ESC)	<ol style="list-style-type: none"> <li>1. Initiate and provide overall business support for the program.</li> <li>2. Act as an advocate for the program, the Program Director and project teams.</li> </ol>
Executive Steering Committee (ESC) <ol style="list-style-type: none"> <li>1. Executive Director (Executive Sponsor)</li> <li>2. Deputy Executive Director</li> <li>3. Director, Motorist Services (Program Sponsor)</li> <li>4. Chief Information Officer</li> <li>5. Chief of Administrative Reviews</li> </ol>	Ensure the program meets overall objectives and: <ol style="list-style-type: none"> <li>1. Provide management direction and support to the program management team;</li> <li>2. Assess the program's alignment with the strategic goals of the department;</li> <li>3. Review and approve or disapprove high-priority changes to the program's scope, schedule and costs;</li> <li>4. Review, approve or disapprove and determine whether to proceed with any major program deliverables; and</li> <li>5. Recommend suspension or termination of the program (or any of its sub-project initiatives) to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved.</li> </ol>
Advisory Board	Provide input and strategic guidance to the Program Director and the Executive Steering Committee to assist in decision making. Members advise, assist, support and advocate the program.
Change Control Board (CCB)	Provide input and strategic guidance to the Program Director, Advisory Board and the Executive Steering Committee to assist in Agile Management-related decision making.
Information Security Manager (ISM)	Provide timely enterprise security management policy, procedures, requirements, and program guidance and/or decisions as it relates to the Driver License Issuance project's enterprise security management aspects.
Independent Verification and Validation (IV&V)	Perform independent assessment of the program to ensure that the deliverables meet defined requirements / specifications in accordance with industry leading practices, the Scope of Services document and the Deliverable Expectation Document.
OMM Leadership Team <ol style="list-style-type: none"> <li>1. Executive Director (Executive Sponsor)</li> <li>2. Deputy Executive Director</li> <li>3. Director, Motorist Services (Program Sponsor)</li> <li>4. Chief Information Officer</li> <li>5. Program Director</li> </ol>	<ol style="list-style-type: none"> <li>1. Review status, resolve issues, and mitigate risks for OMM programs and initiatives.</li> <li>2. Provide input and strategic guidance to the Office of Motorist Modernization leadership.</li> <li>3. Members should advise, assist, and support OMM programs/projects, including the Driver Related Information and Vehicle Enhancements (DRIVE) project and Motorist Modernization Program.</li> </ol>
Program Director	<ol style="list-style-type: none"> <li>1. Serve as the Director of the Office of Motorist Modernization.</li> </ol>

Motorist Modernization Program

Role	Responsibility
(may also be referred to as the Office of Motorist Modernization (OMM) Program Director)	<ol style="list-style-type: none"> <li>2. Has overall responsibility for the successful development and implementation of the Motorist Modernization initiative.</li> <li>3. Oversee the development and implementation of Motorist Modernization projects.</li> <li>4. Liaison with the program sponsor for business resources and day-to-day activities.</li> <li>5. Report program status weekly to the OMM Leadership Team.</li> <li>6. Present monthly program status to the Advisory Board, DHSMV Governance and ESC which includes:                             <ol style="list-style-type: none"> <li>a. Planned vs. actual program costs;</li> <li>b. An assessment of the status of major milestones and deliverables;</li> <li>c. Identification of any issues requiring resolution; proposed resolution for these issues and information regarding the status of the resolution;</li> <li>d. Identification of risks that must be managed; and</li> <li>e. Identification of and recommendations regarding necessary changes in the program's scope, schedule, or costs. All recommendations must be reviewed by stakeholders before submission to the ESC in order to ensure that the recommendations meet required acceptance criteria.</li> </ol> </li> </ol>
Deputy Program Director (may also be referred to as the Office of Motorist Modernization (OMM) Deputy Program Director)	<ol style="list-style-type: none"> <li>1. Assist the Director of the Office of Motorist Modernization.</li> <li>2. Assist the Director in the successful development and implementation of the Motorist Modernization initiative.</li> <li>3. Liaison with the program and project managers in the development and implementation of Motorist Modernization projects.</li> <li>4. Liaison with the Contract and Budget Consultant in the management of the Motorist Modernization budget and contracts.</li> <li>5. Assist with reporting to OMM Leadership Team and other governing bodies.</li> </ol>
Program Manager	<ol style="list-style-type: none"> <li>1. Document program charter (objective/scope/etc.).</li> <li>2. Develop program management plans.</li> <li>3. Consolidate project plans into program plan.</li> <li>4. Report program status.</li> <li>5. Maintain program financials.</li> <li>6. Manage integrated program change control.</li> <li>7. Manage program risks, issues and action items.</li> <li>8. Facilitate team communication.</li> <li>9. Coordinate with Project Management Office and work with Project Managers.</li> <li>10. Report to Deputy Program Director.</li> </ol>

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Role	Responsibility
	11. Provide daily planning, management and oversight of the program. 12. Prepare the operational work plan with the budget amendment and provide requested updates to that plan to the ESC. The plan must specify project milestones, deliverables, and expenditures.
Enterprise Architect	Develop and oversee the overall design, architecture, and development of program deliverables and enterprise architect plan.  Establishes architectural solution recommendations and manages the database redesign resources assigned to the Motorist Modernization program.
Software Architect	Reports to the Enterprise Architect and is responsible for the planning and coordination of the ORION software development activities and development resources assigned to the Motorist Modernization program.
Data Architect	Reports to the Enterprise Architect and is responsible for coordinating database redesign activities in support of all phases of modernization.
Infrastructure Architect	Reports to Enterprise Architect and is responsible for the planning and coordination of infrastructure related activities to support the Motorist Modernization program.
Project Managers	<ol style="list-style-type: none"> <li>1. Document project charter (objective/scope/etc.).</li> <li>2. Develop &amp; update project management plans.</li> <li>3. Monitor project progress.</li> <li>4. Report project status.</li> <li>5. Maintain project financials.</li> <li>6. Manage project change control.</li> <li>7. Manage project risks, issues and actions.</li> <li>8. Facilitate team communication.</li> </ol>
Business Analyst Solutions Manager Sr. Business Analysts	The Business Analyst Solutions Manager and Senior Business Analysts are responsible for the following: <ol style="list-style-type: none"> <li>1. Coordinate with business stakeholders; and</li> <li>2. Provide expertise and coaching during requirement definition and validation, Quality Assurance, Design, Development and Testing efforts.</li> </ol>
Team Leads	The Functional Area Team Leads responsible for the following: <ol style="list-style-type: none"> <li>1. Work with the Business Analyst and Project Manager to set overall direction for the team.</li> <li>2. Report on team assignments, risks, issues and task status to the Project Manager and Business Analyst.</li> <li>3. Complete assigned tasks with regard to legacy system review, business rule definition, user story development, project documentation, etc.</li> </ol>

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Role	Responsibility
	4. Manage the work assigned to members of their team(s).
Contract and Budget Consultant	<ol style="list-style-type: none"> <li>1. Prepare, negotiate, manage and administer all contractual agreements associated with the Motorist Modernization program.</li> <li>2. Track and monitor the Motorist Modernization program budget.</li> </ol>
Communications Consultant	<ol style="list-style-type: none"> <li>1. Develop strategies and tools to inform and educate stakeholders about the Motorist Modernization program.</li> <li>2. Manage all aspects of program communications and organizational change management (OCM).</li> <li>3. Develop print materials, prepare presentations and internal memos, and conduct meetings to share information with a variety of stakeholders.</li> <li>4. Perform formatting and proofreading of communication documents prior to release internally or externally, to ensure that they are accurate and convey the right message to recipients.</li> </ol>
Administrative Assistant	<ol style="list-style-type: none"> <li>1. Assist with the administration of the Motorist Modernization program.</li> <li>2. Perform daily administrative tasks such as maintaining information files, and creating various documents and reports.</li> <li>3. Coordinate recruitment and selection processes for OMM vacancies.</li> </ol>
Product Owner(s) Alternate Product Owner(s)	<p>The Product Owner is responsible for the following:</p> <ol style="list-style-type: none"> <li>1. Act as the Point of Contact (POC) or liaison between the business and the Project Manager and Scrum Master;</li> <li>2. Maintain and prioritize the product backlog;</li> <li>3. Provide resolution and clarification on the finalized business requirements;</li> <li>4. Assist the Project Manager with actively managing in accordance to the existing Motorist Modernization program scope; and</li> <li>5. Participate in sprint retrospectives and provide sign-off on retrospective outcomes.</li> </ol>
Business Analyst(s) / Scrum Master(s)	<p>Technical business analysts responsible for coordinating with stakeholders and providing program expertise through Requirements Development, Quality Assurance, Design, Development and Testing.</p> <p>It is the responsibility of the Scrum Master to:</p> <ol style="list-style-type: none"> <li>1. Analyze, review and refine the business requirements and user stories;</li> <li>2. Work with the Product Owner and Enterprise Architect to manage product backlog; facilitate sprint planning;</li> <li>3. Maintain requirement updates;</li> <li>4. Assist the Project Manager with actively managing in accordance to the existing Motorist Modernization program scope;</li> <li>5. Manage the daily development of the product in accordance with ISA/Service Development standards;</li> <li>6. Escalate project and product issues and/or risks to the Project Manager;</li> </ol>

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Role	Responsibility
	<ol style="list-style-type: none"> <li>7. Track and communicate the developers' progress to the Project Manager using the Team Foundation Server (TFS) toolset;</li> <li>8. Coordinate technical debt or developer roadblocks with the Software Architect, Technical / Development Lead and the Enterprise Architect;</li> <li>9. Identify, remove or escalate developer impediments to the project manager; and</li> <li>10. Help the project team research consensus.</li> </ol>
Lead Developer(s)	<p>It is the responsibility of the Lead Developer to:</p> <ol style="list-style-type: none"> <li>1. Provide direct assistance to the Scrum Master in completing requirements validation of technical requirements;</li> <li>2. Perform development foundation tasks in preparation for full-time product development;</li> <li>3. Serve as the primary lead for development teams, including onboarding and program orientation through pilot and deployment; and</li> <li>4. Provide assistance with knowledge transition.</li> </ol>
Developers	<p>It is the responsibility of the Developers to:</p> <ol style="list-style-type: none"> <li>1. Analyze, review and refine the business requirements and user stories and seek clarifications;</li> <li>2. Facilitate new requirement definition and associated user stories; and</li> <li>3. Develop, unit test and address defects in the code.</li> </ol>
Technical Subject Matter Experts	<p>Work closely with the Enterprise Architect and Technical / Development Lead to contribute to the technical deliverables of the program and provide final recommendation for approval to the Program Director.</p>
Technical / Development Lead	<p>Responsible for the planning and coordination of ORION development effort in coordination with the Software Architect, Enterprise Architect, Technical Subject Matter Experts, Scrum Masters, Project Managers, and Developers.</p>
Agency for State Technology (AST)	<p>Provide monitoring and oversight on behalf of the Agency for State Technology.</p>
Support Services Vendor	<p>Provide professional consulting services as outlined in the Scope of Services agreement.</p>

## Motorist Modernization Program

**6.7. Program Stakeholders**

The Department serves more than 16 million licensed drivers and the registrants of more than 20.5 million registered vehicles, vessels and mobile homes. These represent the general public, commercial drivers, commercial carrier companies and other businesses that own vehicles.

The Department also serves more than two dozen other types of customers and users representing hundreds of entities. Stakeholders are often the conduit for communications to be provided to their respective constituent communities.

All of these stakeholders act as advocates for the program and often speak to the strategic business interests of the program. Promoting the program objectives to all stakeholders is key to obtaining the support needed for program success. The following table identifies the current program stakeholders with a brief description of their specific relationship to the program.

Customers/Users	Function Performed
Citizen	Deliver Motorist Services
Mobile home manufacturers	License business and inspect manufacturing
Other states & jurisdictions	Provide information on driver and vehicle records received in Florida, receive information on driver and vehicle records received outside of Florida, and information exchange related to law enforcement and homeland security
Car manufacturers	License manufacturers
Rebuilt manufacturers	Inspect rebuilt vehicles and issue rebuilt title if appropriate, allowing vehicle to be sold
Mobile home installers	License installers, train inspectors
Ignition interlock providers	License providers, track program completion and compliance
Driving Under the Influence (DUI) programs	Approve and monitor DUI programs
Commercial driving schools	Approve applications from owners and instructors
Motorcycle training schools	License and train providers
Researchers	Provide data used for research
Commercial fleet manager / independent owner-operators	Issue Commercial Driver License (CDL), International Fuel Tax Agreement (IFTA) / International Registration Plan (IRP)
Specialty plate agencies	Collect and distribute revenue from sale of specialty tags

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Customers/Users	Function Performed
Non-profit Organizations	Distribute voluntary contributions
Tax Collectors	Provide systems and support for the issuance of credentials
Private tag agencies	Provide systems and support for the issuance of credentials
Car dealers	Licensed by the Department
Electronic Filing System Vendors	Provides an interface for dealerships to have real time access to vehicle registration and title information from the Department
Commercial data purchasers / entities with Memorandums of Understanding (MOU) with Department	Provide Motorist Services information to the commercial entities
Other Federal, state and local entities, e.g.: Florida Department of Revenue Florida Department of Business and Professional Regulation Federal DOT/ Motor Carrier Safety Administration and Federal Highway Administration Social Security Administration	Provides information to other government entities. Consumes information from other government entities.
Selective Service Administration (SSA)	Provide information for registering people eligible for the draft
Donate Life Florida	Register people for organ donation
Supervisor of Elections	Provide information for registering potential voters
Courts	Provide Motorist Services information to aid in sanctions or judgments



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Customers/Users	Function Performed
Department of Revenue/Children of noncustodial parents	Suspend driver licenses of noncustodial parents that do not meet their court-ordered child support obligation
Florida Highway Patrol / Law enforcement	Provide access in order to lookup identity information and other information related to maintaining public safety
Florida Department of Law Enforcement (FDLE)	Report changes of address for offenders
Department Vendors (e.g., Pride, MorphoTrust, etc.)	Contracts with vendors to provide commodities, equipment, and or services
American Association of Motor Vehicle Administrators (AAMVA)	Department accesses a clearinghouse of motorist information for member states
IFTA / IRP Inc.	Department access and provides information for member states
Electronic Lien and Title Vendors	Support use of an interface for financial institutions to have real time access to vehicle registration information
Insurance Companies	Perform verification of driver insurance information

## 7. Human Resource Management

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### **7.1. Resource Planning and Management**

Human resource management is the process developed to effectively identify, acquire, and manage the resources needed to meet the program objectives. This includes defining what resources are needed, assessing appropriate skill sets, and determining when and how long resources are needed for the program. As such, the procedures within the resource management plan focus on assessing a resource need by project, escalating the need to program leadership and managing the need through work re-assignment, training or on-boarding of additional personnel.

Please refer to the Motorist Modernization Program Resource Plan developed as part of the program initiation activities. The resource plan includes, for each anticipated person: the role on the program, the anticipated start date, the duration the resource will be needed and their assigned supervisor. The most current version of the resource plan shall be kept as part of the Project Control Book.

Program resource planning does not account for resources contracted through the Support Services vendor. Program resources are defined in Section 6.6, Program Team and further defined in Section 6.9, Program Team Roles and Responsibilities.

### **7.2. DHSMV Operations Resources**

Subject matter experts (SMEs) will be required from appropriate business areas. The Program Manager, Project Manager, or Business Analyst may identify a specific resource need. Once identified, the Program Manager shall be responsible for providing the detail surrounding the need, including the duration of the resource need, tasks assigned, and percentage of time the resource will be needed for the duration specified. The detailed request will be escalated according to the Decision Escalation Matrix referenced in Section 6.7 for consideration and resolution.

### **7.3. Resource On-Boarding**

Program leadership is committed to ensuring full-staffing of the Program Team in keeping with the commitment to the Program as the Department's number one priority. As positions are vacated, every attempt will be made to back-fill with competent personnel as quickly as possible to minimize gaps in continuity. Once a vacancy or need for a new resource is identified within the Program Team, the Program Director (and Deputy) will work closely with the Program Manager, Contract and Budget Consultant and Administrative Assistant to facilitate the hiring process. Upon selection of a new resource, the Program Manager, Contract and Budget Consultant and Administrative Assistant will work collaboratively to ensure that they have all necessary equipment and software, and are properly on-boarded.

Once a specific resource has been identified, the Program Manager or specific Project Manager should update the resource plan and complete the role information / equipment and remote-access needs. Coordination of the security clearance and associated testing will be completed by the Administrative Assistant. As decisions are made, the Program Manager as well as the Administrative Assistant should be kept informed.

Security role provisioning should be completed by the project supervisor in accordance with Department standards and procedures.

New project resources should complete a review of the following documents:

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- Schedule IV-B for Motorist Modernization
- Program Management Plan
- Project Charter
- Project Management Plan
- Specific deliverables and/or project artifacts as determined by the supervisor

**7.4. Resource Roll-off or Anticipated Vacancy**

As the determination is made for a resource to roll-off or vacate their position on the project, the Project Manager should update the resource plan with the anticipated roll-off date and communicate that to the Program Manager and/or the vendor's Project Management Office (contracted staff).

Resources should complete the following activities:

- Complete any outstanding tasks;
- Document with their supervisor a transition plan (if required) and complete transition activities; and
- Post any project artifacts to applicable repository and notify supervisor.

The project manager or their designee shall confirm the resource has rolled-off and notify the DHSMV Technical Assistance Center (TAC) in order to adjust/remove system, network access.

Resource Management includes the processes that organize and manage the project team. The project team is often comprised of the people who have been tasked with roles and responsibilities for completing the project according to the defined scope. The project manager will be made aware of any resource changes that could affect the Motorist Modernization program. This resource change will be documented in the project risk register.

Resources will be requested, allocated and assigned according to the Decision Escalation Matrix referenced in Section 6.7.

## 8. Cost Management

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### 8.1. Program Estimated Budget

The Legislative Budget Request (LBR) submitted for FY 2017-18, estimates Phase II year one program costs at \$4.1 million. The budget for this program will be co-managed by the Program Manager and Contract and Budget Consultant. For detailed budget information, please refer to the *Schedule IV-B Cost Benefit Analysis (CBA)* stored on SharePoint.

### 8.2. Spend Plan

The Contract and Budget Consultant will develop an overall Program Spend Plan for each fiscal year that estimates the anticipated budget by month. The same budget information will be recorded in the PPM tool each month for monitoring and tracking by stakeholders.

The Contract and Budget Consultant will review the budget information for all projects within the program once a month with the Program Manager and update the spend plan monthly to reflect actual expenditures to date for reporting to IV&V, AST, and the ESC. Applicable updates will also be made within the PPM toolset.

### 8.3. Budget Monitoring

Once a month, the Contract and Budget Consultant and Program Manager will jointly review the planned budget and actual expenditures tracked in the Spend Plan to determine if the program is efficiently spending the resources. As specified in Section 12.6, Quality Assurance Assessments – Internal and External, the Contract and Budget Consultant will review the Budget to Date as well as the overall Budget and report any variance.

All Project Managers will notify the Program Manager (and Contract and Budget Consultant) in writing as to any anticipated budget revisions, the cause, and the impact to the project. In addition, the notification shall indicate when a decision is needed. This information shall be what is then used to initiate the Issue Management and Resolution process or the Change Control process, as agreed to by the Project and Program Managers. For specific information on how budget issues will be handled, please refer to the Decision Escalation Matrix referenced in Section 6.7.

## 9. Time Management

### 9.1. Time Management Overview

Time management refers to the processes required to ensure timely completion of the program objectives. The Program Manager is responsible for establishing the baseline and updating the IMS weekly with input from the respective project managers and teams.

- The IMS will be resource leveled. Resource leveling is the project management function of resolving resource over-allocation. By definition, over-allocation means that a resource has been assigned more work than can be accomplished in the available time as dictated by the resource's calendar definition.
- Tasks will be completed according to the program schedule and within the established timeframes. In the event of a slipping task, the process described in the section below will be followed.

Please refer to the *MM MASTER Program Schedule* located in the PCB.

Due to the complexities of trying to upload the IMS into the current PPM toolset, the IMS will instead be managed in Microsoft Project. As a result, only key milestones will be extracted from the IMS and tracked in the PPM toolset.

### 9.2. Managing the IMS

The IMS will be updated on a routine basis with input from the individual project managers and respective teams. The initial baseline will be set in Microsoft Project as "Baseline 0." Motorist Modernization Project Managers will be responsible for tracking and managing individual project tasks and reporting any slippage.

- The Program Manager will co-manage updates to the IMS with the Project Managers on a weekly basis. Information will be collected via weekly team meetings, analyzed, and reviewed collectively prior to incorporation. The updated IMS will be made available to all team members, reported in weekly status reports / meetings, and communicated to all governing bodies.
- Motorist Modernization Project Managers will oversee the development of specific project tasks, and manage resources to ensure that individual project objectives are met within the established timeframes.
- Weekly updates shall focus on recording the percent complete for tasks in 10% increments. Table 9-1 details who is responsible for what, and how often:

Responsible Lead	Description	Frequency
Program Manager	Percent complete for all program tasks	Weekly
Project Manager(s)	Percent complete for all project tasks	Weekly
Scrum Master(s)	Status updates for development and testing	Weekly

Table 9-1 IMS Update Responsibility

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Schedule changes will be managed according to the Decision Escalation Matrix referenced in Section 6.7. Changes will follow the Change Management Process documented in Section 11. Schedule changes approved by the appropriate governing body will be documented in a separate spreadsheet that tracks the detailed description of the change, the person making the change, the version number of the schedule altered, and the rationale behind the requested change. Changes may not require an entirely new baseline and thus the baseline will also be tracked to document specific line item changes.

### **9.3. Slipping Tasks**

A slipping task is a task that is not going to be completed on or before the scheduled date. Tracking and managing specific project tasks shall be the responsibility of each Motorist Modernization Project Manager. If a member of the project team anticipates that a project task may not be completed by the established deadline, the team member will notify the Project Manager immediately via e-mail. The e-mail should include the cause for the delay and a new date by which the task will be completed. The Project Manager will assess the project schedule for impact and either adjust the schedule or escalate the issue to the Program Manager for further discussion. Depending on the schedule delay, changes will need to be escalated according to the Decision Escalation Matrix referenced in Section 6.7. The slipping task and impact will also be reported at the weekly Project Status Meeting.

The Project Manager will perform the following tasks to manage the project schedule:

- Review progress during the status meeting. This will identify slippage early in the process and allow for response.
- Review progress, at the status meeting, to verify that work is proceeding as previously scheduled. This will include walkthroughs of the products, artifacts, and deliverables.
- Review progress and discuss strategy with the Program Manager.
- Based on the criticality of the tasks, the Project Manager will:
  - Establish response plans for the slipping tasks
  - Determine the impact to schedule and budget
  - Inform the Project Team of the overall impact of the slippage, identify associated tasks that are also in jeopardy, and present a response strategy. The Project Manager will schedule a meeting with the Business Lead and inform the Project Sponsor if a task slippage impacts a deliverable or milestone. Options and impacts will be presented at the meeting.
  - Document the slippage and response strategy in the next Project Status Report.

### **9.4. Monitoring and Tracking Schedule Progress**

In accordance with IV&V and the Agency for State Technology (AST) program management expectations, the IMS will be tracked and monitored using the Schedule Performance Index (SPI) noting any standard deviations above or below 10% from the planned and actual start/finish dates.

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9.5. Work Breakdown Structure (WBS)

Figure 9-1 Work Breakdown Structure (WBS)<sup>1</sup> illustrates the hierarchical structure of the tasks required to meet the program objectives and detailed in the IMS.

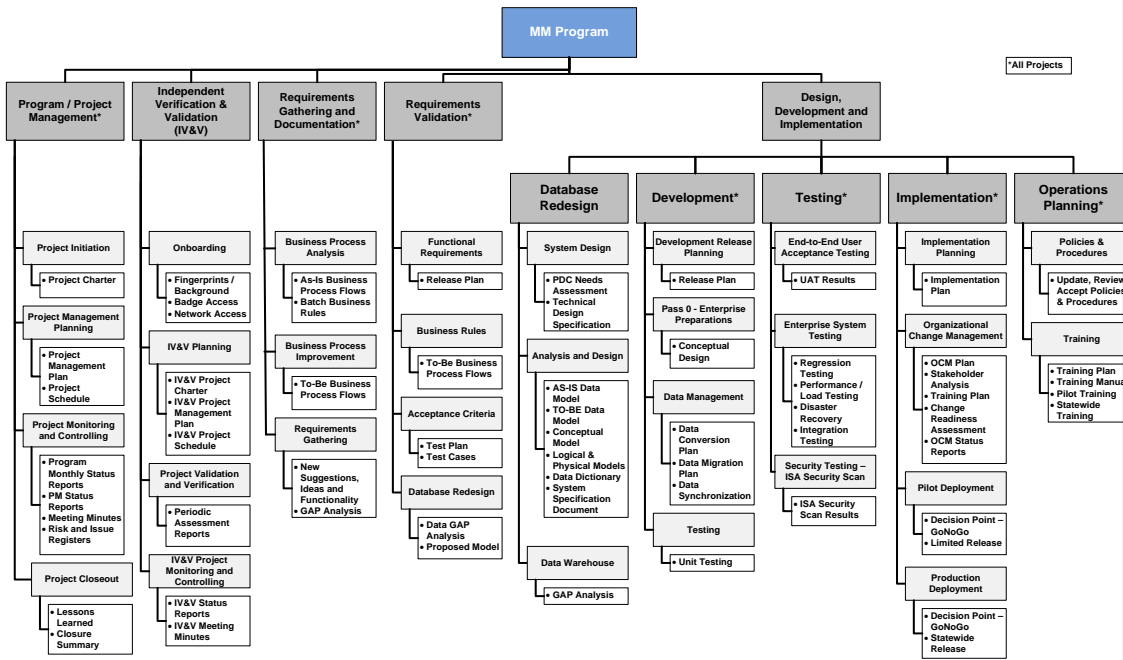


Figure 9-1 – Work Breakdown Structure

<sup>1</sup> Some items listed in the WBS are in progress in the IMS, but this diagram represents the structure by which the IMS will be developed and managed.

## 10. Risk and Issue Management

### 10.1. Defining a Risk

The risk and issue management plans are critical procedures for the Motorist Modernization program and all related projects. A risk can be defined as an uncertain event or condition that, if it occurs, has a positive or negative impact on program's objectives. Risks and issues will be managed at the project level as detailed in this plan. However, risks and issues pertinent to the overall Program will be maintained in a separate risk register and issue log in the PPM tool for program monitoring and reporting.

The Program Manager will monitor all program risks on an ongoing basis and maintain the risk register in the PPM tool which includes the following information:

Risk Details	Description
Risk ID	The auto-generated numeric ID assigned upon entry into the PPM tool.
Risk Name*	The short risk name <b>Note:</b> In the case of Program level risks, the name will be "Risk #" which may or may not match the Risk ID. The intent is to have the identifier available on printed reports.
Risk Status*	Auto-populated field noting the status of the mitigation plan: <b>New:</b> Default value. Leave until initial risk review has occurred. <b>Mitigation Plan Defined:</b> Status of all risks actively accepted or being mitigated. <b>Risk Became Issue:</b> Status of risks escalated as an issue. Record the associated Issue Number in the Resolution field. <b>Closed:</b> Status of resolved risks that were not escalated to issues.
Assigned To*	The person assigned for overall risk responsibility
Risk Description	A detailed description of the risk Risks should be documented using an "If...then..." framework to clearly capture the potential risk and impact in the statement.
Impacted Areas*	Areas the risk could impact—check all that apply—budget, equipment, management, physical, schedule, scope, staffing
Date Logged	The auto-generated date and time stamp the risk is entered into the PPM tool
Probability of	Ranking the potential for risk occurrence:



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Risk Details	Description
Occurrence*	<p><b>Low:</b> &lt;10% chance of risk realization</p> <p><b>Medium:</b> 10%-60% chance of realization</p> <p><b>High:</b> &gt;60% chance of risk realization</p>
Mitigation Approach*	<p>The risk response:</p> <p><b>Accept:</b> This approach reflects a risk that is acknowledged as valid, but cannot be avoided or mitigated</p> <p><b>Avoid:</b> This approach reflects a risk where steps are taken to disengage any activities associated with the inherent risk.</p> <p><b>Transfer:</b> This approach reflects a risk that is transferred to another entity not associated with the Motorist Modernization Program of Driver License Issuance project.</p> <p><b>Mitigate:</b> This approach reflects a risk that has one to many identified actions that can be taken to reduce the probability and/or impact should the risk be realized.</p>
Impact*	<p>The probable impact on the Project the risk would have if realized. Some risks could have a high probability, but the impact be low and vice versa.</p> <p><b>Low:</b> Variance to impacted area is anticipated to be &lt; 10%</p> <p><b>Medium:</b> Variance to impacted area between 10%-25%</p> <p><b>High:</b> Variance to impacted area is anticipated to be &gt; 25%</p>
Mitigation Description	Detailed risk response
Anticipated Resolution Date*	The latest date in the mitigation plan's anticipated action completion. If there is no mitigation plan yet documented OR the risk is merely "accepted", record the Wednesday 2 weeks out from the current date.
Actual Resolution Date	The actual resolution date when the risk is either closed, transferred or escalated to an issue.
Resolution	<p>A chronological history of the activities taken to manage this risk. Latest entry should be listed at top. Each entry should begin as follows:</p> <p style="text-align: center;"><b>&lt;MM-DD-YYYY&gt; author of update (i.e., First Initial. Last Name)</b></p>
Logged By	The person entering the risk into the PPM tool

\*Fields with an asterisk are required in the PPM tool.

Table 10-1 Risk Details

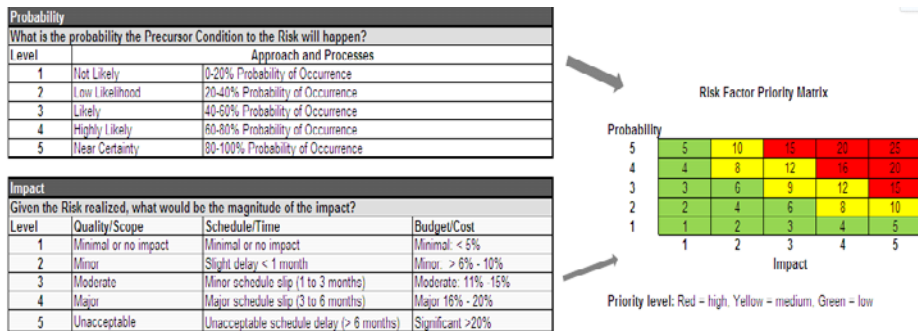
**10.2. Risk Management Strategy**

*Risk Identification Process*

Risks for the program may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, or documented in meeting minutes) and provided to the Program Manager, who will then add the item to the risk register in the PPM tool. All risks (new and existing) are reviewed weekly and presented at the weekly status meeting for progress tracking. The Program Manager will review the risk register and discuss identified risks with the Deputy Program Director as needed. All risks will be managed according to the Decision Escalation Matrix referenced in Section 6.7.

*Risk Evaluation and Scoring*

Risk probability is a measure of the likelihood that a certain risk will occur. The probability of occurrence for the risk can be defined on a level from 1-5. Risk impact is a measure of the expected degree of impact that the risk, if it occurs, will have on the program. The degree of impact for the risk can be defined on a level from 1-5. The Program Manager will calculate the risk score as the product of the risk probability score and impact score when both are multiplied. Each program risk shall be scored and included in the weekly review and presentation at the weekly status meeting for progress monitoring and tracking. Figure 10-1 illustrates the priority matrix once the probability and impact for each individual risk has been assessed.



**Figure 10-1 – Risk Scoring Matrix**

For high risks, mitigation plans will be developed to eliminate the risk or the potential impacts to the program. All high level risks will be documented and communicated to the ESC for review and evaluation.

*Risk Plan Maintenance*

The Program Manager meets weekly with the Program Team to discuss any new risks or issues and review ongoing risk mitigation plans. Subsequent to the meeting, the Program Manager will update the risk details in the PPM tool as necessary and include in weekly reporting to OMM Leadership.

Figure 10-2 and Figure 10-3 both illustrate the Motorist Modernization program’s Risk Management Process.

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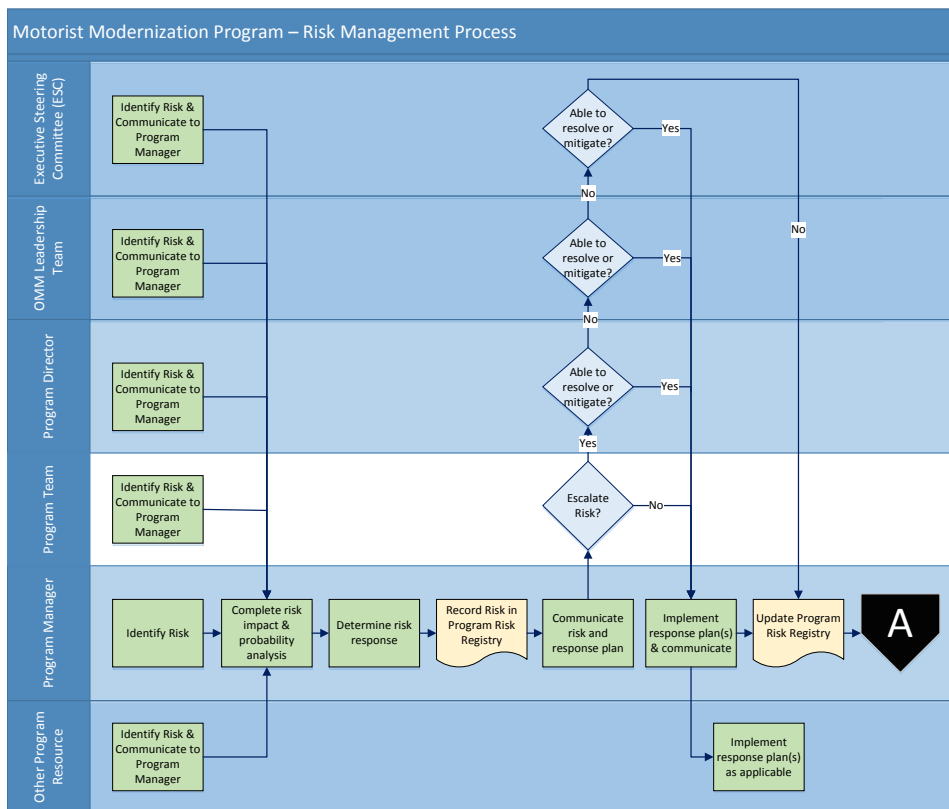


Figure 10-2 – Risk Management Process (1 of 2)

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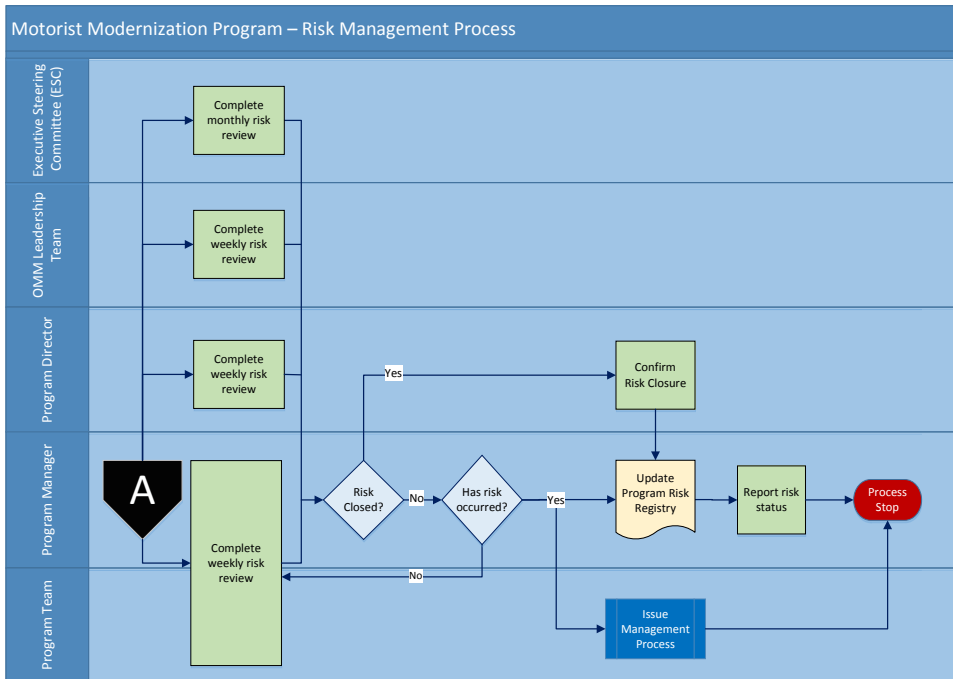


Figure 10-3 – Risk Management Process (2 of 2)

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10.3. Issue Management and Resolution

All issues will have a plan for management and resolution which will be developed to eliminate potential impacts to the program.

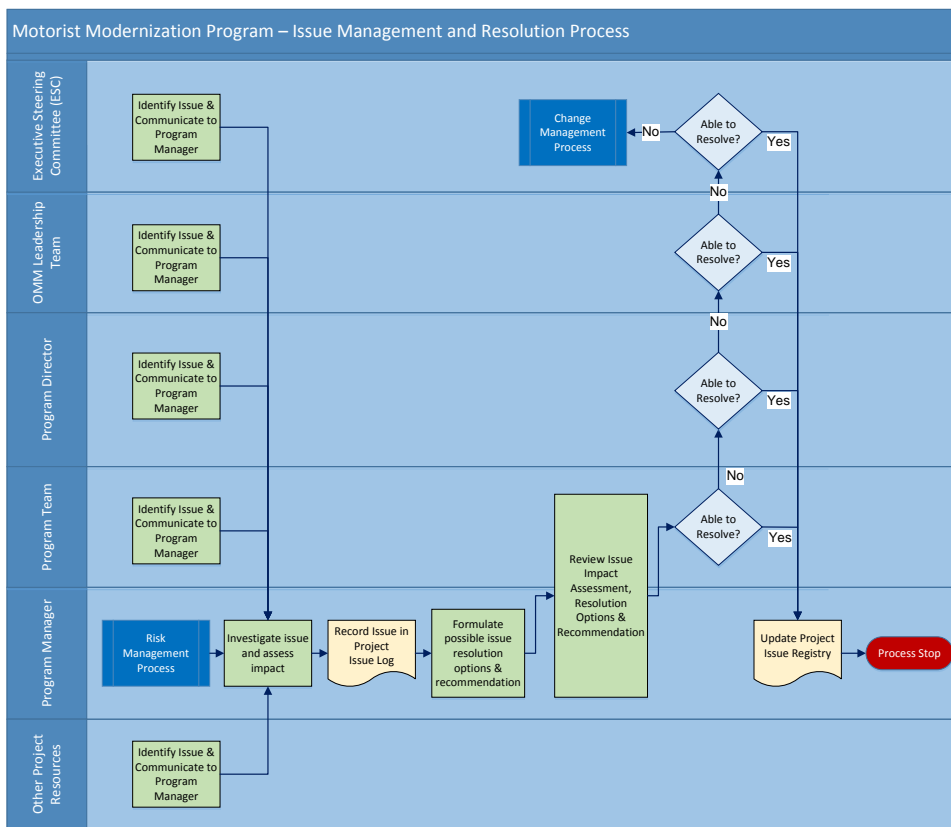


Figure 10-4 illustrates the issue management process. The Program Manager will monitor all program issues on an ongoing basis and maintain the issue log in the PPM tool which includes the following information:

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Issue Details	Description
Topic*	The short description of the issue. If this issue is a risk that is being escalated, use "Risk Name" in this field.
Description	A detailed description of the issue. If escalated from a risk, please note that and the date it moved to an issue.
Start Date*	Date the issue was escalated from a risk OR date program team became aware of the issue.
Deadline*	Date by which the issue needs to be resolved or, if applicable, escalated.
Priority	Ranking the issue priority: <b>Low:</b> Minimal impact to the project or program. <b>Medium:</b> Progress disrupted with manageable extensions to short-term schedule and cost. <b>High:</b> Significant disruption to program schedule (i.e., Greater than 2 weeks for key milestones), cost (i.e., greater than \$10,000 increase), or quality. Threatens the success of the program OR the issue requires escalation to the next tier of the Motorist Modernization Program Governance structure.
Budget Impact	Numeric field to record the proposed budget impact. This field will not be utilized at this time.
% Complete*	Numeric field to record the percent complete status for the issue and proposed mitigation strategy: <b>0%</b> - Issue has not been assigned and/or no activity has been initiated to resolve the issue. <b>50%</b> - Issue resolution is in progress and there is no concern about the resolution being achieved by the deadline date. <b>100%</b> - Issue has been resolved. <i>Note: This will need to be updated weekly</i>
Assignee(s)	The person(s) assigned to the issue <i>Note: The PPM tool generates an automatic notice to all assignees</i>

\*Fields with an asterisk are required in the PPM tool.

Table 10-2 Issue Details

## 11. Change Management

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The change management process detailed in this document is intended to provide the Motorist Modernization program and subsequent projects with a guide for how the program will identify, document, analyze, escalate, approve, and communicate changes to scope, schedule, and cost. The change management process is used in any situation where a change occurs to the program's scope, schedule, cost, area of responsibility, or a vendor's scope of services. Scope is further defined in the requirements for the program, which will be baselined following the requirement confirmation process and prior to the design process.

Below are examples of causes for a change request.

- A request to add functionality / scope
- A change in defined and agreed upon requirements (additions and deletions)
- A change to a design after agreement and build and test activities have started
- A modification to the delivery or release schedule
- A change to comply with mandate from inter-related initiative
- A change to comply with legal and/or regulatory requirements
- A change due to a requirement that cannot be met
- A change due to solution / product limitations
- Changes to an approved Document Expectation Document for a deliverable

### **11.1. Documenting the Proposed Change**

A change can be identified by anyone working on a Motorist Modernization project. Changes to scope, schedule, and/or budget will be documented in a formal Change Request. The need for the proposed change request, and resulting impact if completed/not completed, should be submitted in writing to and/or discussed with the Product Owner(s), Project Manager and/or Program Manager. Upon agreement that the change should be escalated, the requester (via the Project or Program Manager) shall document a formal Change Request (CR) form. The Program Manager will record it in the Change Log spreadsheet and assign a Change Request Number (CR#).

The Project Manager, with consultation from the Program Manager and/or Product Owner, will perform a further impact analysis to confirm possible impacts to the projects and/or program should the change not be pursued. He/she shall also work with the team to determine if there are additional options that should be explored to effectively, efficiently make the change. Upon completion of this analysis, the Program Manager shall submit the Change Request for review by the appropriate governing body according to the Decision Escalation Matrix referenced in Section 6.7.

### **11.2. Processing the Change Request**

Once the CR has been documented, it will be presented to the appropriate program governance body, who will then review and make a recommendation to escalate, defer, approve, or disapprove the CR. If approved, the CR and all supporting documentation will be added to the PCB and the CR will be communicated to the Advisory Board, ESC, and Tier III Governance. From there, the Project or Program Manager will re-baseline the schedule and budget, and update any other relevant program documentation as appropriate (Change Log, Gap Analysis, etc.). Should there be any dispute on the handling of a CR, the CR in question should be

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escalated to the ESC. If rejected, the Program Manager will notify the requestor and document the decision in the Change Log.

In some cases, the CR may be deferred. If deferred, the Program Manager will document the decision in the Change Log and the request will be routed through the entire process again at a later date.

For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 6.7.

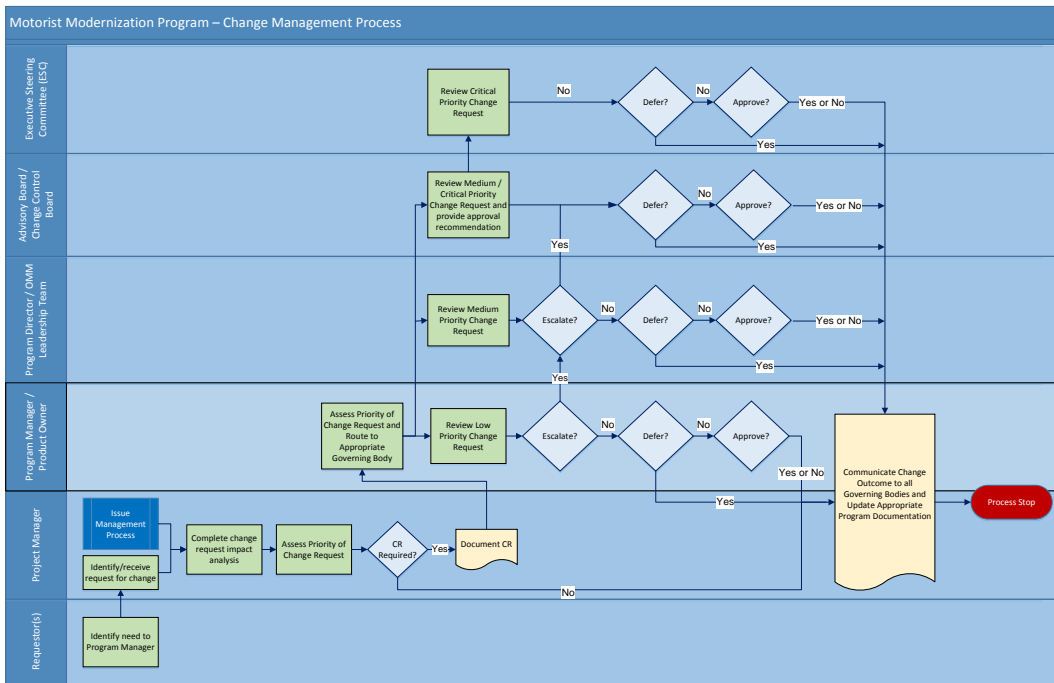


Figure 11-1 – Change Management Process

11.3. General Change Requests and Modernization

The OMM recognizes the ongoing maintenance and work to current systems. All change requests received by the Service Development team or the PMO via WRAP will be evaluated by the assigned Project Manager and then routed through Program Manager to help streamline resource assignments, eliminate redundant efforts and optimize modernization and business process efficiencies. Change requests will follow the same process documented in this section and escalation will follow the Decision Escalation Matrix referenced in Section 6.7.



**11.4. Agile Development-related Change Requests**

Throughout the Motorist Modernization program’s development phase, there will be changes that apply directly to the program’s agile<sup>2</sup> scope, schedule and/or cost (as documented via the Release Plan and Product Back-log). These types of changes are handled in a slightly different manner than general program change requests. Here are the levels of agile development-related changes that may occur and necessary actions for each.

Level	Attributes	Reviewer(s) / Approver(s)
Level 1 (Low)	<p>Changes that occur as a result of delivery of a single user story or impact multiple user stories within the same team. These include:</p> <ul style="list-style-type: none"> <li>• Changes that are associated with how the user story is implemented. For example: The layout of a screen, formatting of text, back-end rules of a data field, table elements, conditions of a query, etc.</li> <li>• Changes that impact user stories assigned to the same team. For example: A minor business rule change that impacts multiple test cases, screen/business rule changes that impact multiple stories, screen language/verbiage, field validation conditions not impacting the data layer, etc.</li> <li>• Changes resulting in minor refinements to test cases / development estimates.</li> <li>• Changes resulting in development and testing that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes resulting in minor refinement to training curriculum and/or material that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes that <u>do not</u> generate the need for an additional development Sprint or elimination of a planned development Sprint.</li> <li>• Changes that <u>do not</u> impact the program’s overall release scope or schedule (may be absorbed in the product backlog, no refactoring required).</li> </ul> <p>No formal change request is required for Level 1 changes, as these are an aspect of using an iterative approach to software development. These changes may be managed by the Product Owner. Level 1 changes are documented by the Scrum Master in Blueprint and Team Foundation Server (TFS).</p>	Product Owner / Program Manager / Project Manager
Level 2 (Medium)	<p>Changes that impact multiple teams. These include:</p> <ul style="list-style-type: none"> <li>• Changes that involve minor functional or formatting change that impact user stories being implemented by</li> </ul>	Product Owner / Program Director

<sup>2</sup> Agile is relating to or denoting a method of project management, used especially for software development that is characterized by the division of tasks into short phases of work and frequent reassessment and adaptation of plans.

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Level	Attributes	Reviewer(s) / Approver(s)
	<p>multiple teams. For example: Modifications to common rules, shared letters/correspondence, table changes (with no changes in schema), etc.</p> <ul style="list-style-type: none"> <li>• Changes that impact multiple testing and development teams; however, these are refinements that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes resulting in minor refinement to training curriculum and/or material that may be absorbed in an existing development Sprint or Hip sprint.</li> <li>• Changes that <u>do not</u> generate the need for an additional development Sprint or elimination of a planned development Sprint.</li> <li>• Changes that <u>do not</u> impact the program's overall release scope or schedule (may be absorbed in the product backlog, no refactoring required).</li> </ul> <p>Ideally, the Product Owners associated with the impacted teams will be able to coordinate the change. No formal change request is required for Level 2 changes. The request will be logged in the program's change request tracker and reviewed each week with the program team and product owners. Level 2 changes are also documented by the Scrum Master in Blueprint and Team Foundation Server (TFS).</p> <p>If product owners are not able to reach agreement, the change will be elevated so that a formal decision can be made (Level 3).</p>	
<p>Level 3 (Medium) (Critical)</p>	<p>Changes to basic functionality. These include:</p> <ul style="list-style-type: none"> <li>• Changes to add, delete or modify basic functionality, which impacts the overall release scope, schedule and/or cost. For example: New screens, new functional/nonfunctional requirements, WRAPS, legislative changes, etc. <ul style="list-style-type: none"> <li>◦ Additions/modifications will require user story definition, estimation, refinement (grooming), etc. for insertion into the product backlog within the appropriate release and sprint.</li> </ul> </li> <li>• Changes that generate the need for an additional development Sprint or elimination of a planned development Sprint.</li> <li>• Changes that impact the program's overall release scope or schedule (refactoring required).</li> <li>• Changes resulting in modifications to approved training curriculum and/or material (modules).</li> </ul> <p>Level 3 changes must be fully documented with a change request and follow the formal change management process, which includes a review by the program's CCB. Also, in accordance with the program's Decision Escalation Matrix referenced in Section 6.7, Medium Level</p>	<p>Change Control Board (bi-monthly) / Program Director / Executive Steering Committee</p>

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Level	Attributes	Reviewer(s) / Approver(s)
	3 change requests may be approved by the Program Director, and Critical Level 3 changes will require approval by the Executive Steering Committee. All change requests, whether approved, denied or rejected will be presented to the Advisory Board and ESC.	

## 12. Quality Management

### 12.1. Quality Management Approach

As part of the reporting and monitoring to be done by IV&V, the program will implement quality metrics to support transparency, traceability, and accountability against program objectives and benefits realization. The following tools will be used to manage quality of the program:

Tool	Description
Earned Value Management (EVM)	The Integrated Master Schedule (IMS) will be analyzed for earned value (EVM) against the baseline.
Budget Variance	The Integrated Master Schedule (IMS) and Spend Plan will be analyzed for cost performance against the baseline.
Schedule Performance Index (SPI)	The Integrated Master Schedule (IMS) will be analyzed for schedule performance against the baseline.
Status Reports	<p>The Program Manager will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current Program activities, and assess the likelihood of achieving key milestones. These status reports will also help monitor lessons learned and identify improvements for future phases of the Motorist Modernization Program.</p> <p>The weekly status report currently includes information to derive the following quality indicators:</p> <ul style="list-style-type: none"> <li>• Progress against the baseline plan's key milestones</li> <li>• Deliverables Progress – timeliness of submission, reviews, approvals are key quality aspects for deliverables</li> <li>• Issues - Number of open priority issues and aging of issues</li> <li>• Risks - Total number of open Medium and High Risks</li> <li>• Action items - Number and aging of open action items</li> </ul> <p>Project Managers for each project will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current project activities, and assess the likelihood of achieving key milestones.</p> <p>The Support Services vendor will produce:</p> <ul style="list-style-type: none"> <li>• Weekly status reports for stakeholders</li> <li>• Monthly summary status reports for stakeholders</li> </ul>
Deliverable Expectations Document (DED)	<p>The Program Team will work with the Vendor to document acceptance criteria for each deliverable, identify appropriate reviewers, and streamline the deliverable review process.</p> <p><b>Note:</b> A template for the Deliverable Expectation Document is located</p>

Tool	Description
	in the Project Control Book.

The purpose of the Quality Management Plan is to outline the processes to instill quality in the deliverables produced and services provided. The plan outlines both quality assurance activities as well as quality management metrics.

The objectives of the Quality Management Activities are to:

- Identify and correct defects early in the process
- Evaluate a deliverable against program standards and deliverable expectations
- Reduce the number of errors as the work effort progresses
- Reduce time and costs resulting from rework
- Monitor adherence to agreed-upon program processes

For purposes of this document, quality is defined as the degree to which a system, deliverable, or process meets specified requirements. The Quality Management Plan is made up of quality activities that fit into three main categories:

- Deliverable Quality
- Process Quality
- System Quality

The following sub-sections outline the key activities within the deliverable quality assurance, process quality management, and system quality categories.

**12.2. Requirements Documentation**

The process overview for gathering and documenting requirements from suggestions and ideas through deployment can be found in the *Requirements Gathering Process Overview* document located in the PCB. All requirements will be stored in a consolidated repository using a requirements management software tool.

**12.3. Deliverable Quality**

Deliverable Quality is used to evaluate whether program deliverables comply with the standards and objectives of the stakeholders. A key step in formulating a quality deliverable is to establish a shared set of expectations of what should be contained within the deliverable, who should contribute to the deliverable, and ultimately who will be involved in the review and approval of the work product.

These tenets of the formal Project deliverables will be documented and agreed to as part of the Program’s Deliverable Review Process.

**12.4. Deliverable Review Process**

Prior to starting the work to gather input and construct a deliverable, the Program Manager and deliverable author will confirm those individuals that will be responsible for contributing to and/or reviewing a deliverable. The Project Manager or deliverable owner will draft a Deliverable Expectation Document (DED) for the deliverable. The DED provides the author(s) guidance and direction on the deliverable format, level of detail,

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identifies individuals that will contribute to the deliverable, confirms the deliverable reviewers and reiterates the deliverable's deadlines.

The DED is an important project artifact in aligning expectations for the deliverable, defining specific roles for the deliverable and is used in the quality assurance peer reviews for each submission. For each deliverable (regardless of phase or deliverable review cycle), the peer review step relies on two documents to guide the quality assurance review: the approved DED and the consolidated comments from all reviewers noted in the approved DED as well as IV&V. Prior to the initial deliverable submission, the peer reviewer will make sure all sections in the DED are represented and address the content and format expectations outlined. For subsequent submissions, the peer reviewer will still evaluate the deliverable against the DED as well as evaluating the work product updates (or comment response) that were made for each comment received from the reviewers.

Outstanding points identified from the peer review are returned back to the author(s). When another draft of the deliverable is available, the peer review process repeats. Figure 12-1, Figure 12-2, and Figure 12-3 illustrate the deliverable review process, including the quality assurance peer review(s). Within the approved DED, specific individuals are aligned to one or more of these roles reflected in the Deliverable Review Process.

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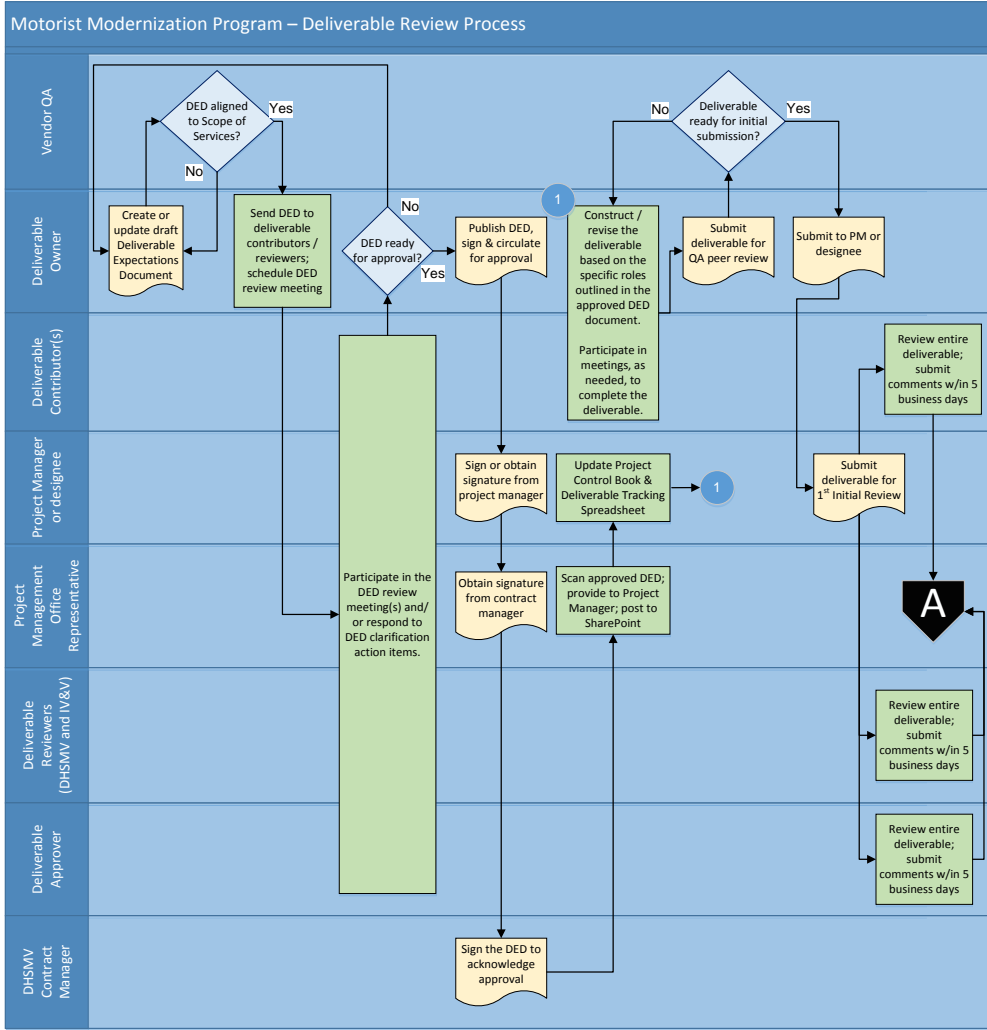


Figure 12-1 – Deliverable Review Process (1 of 3)

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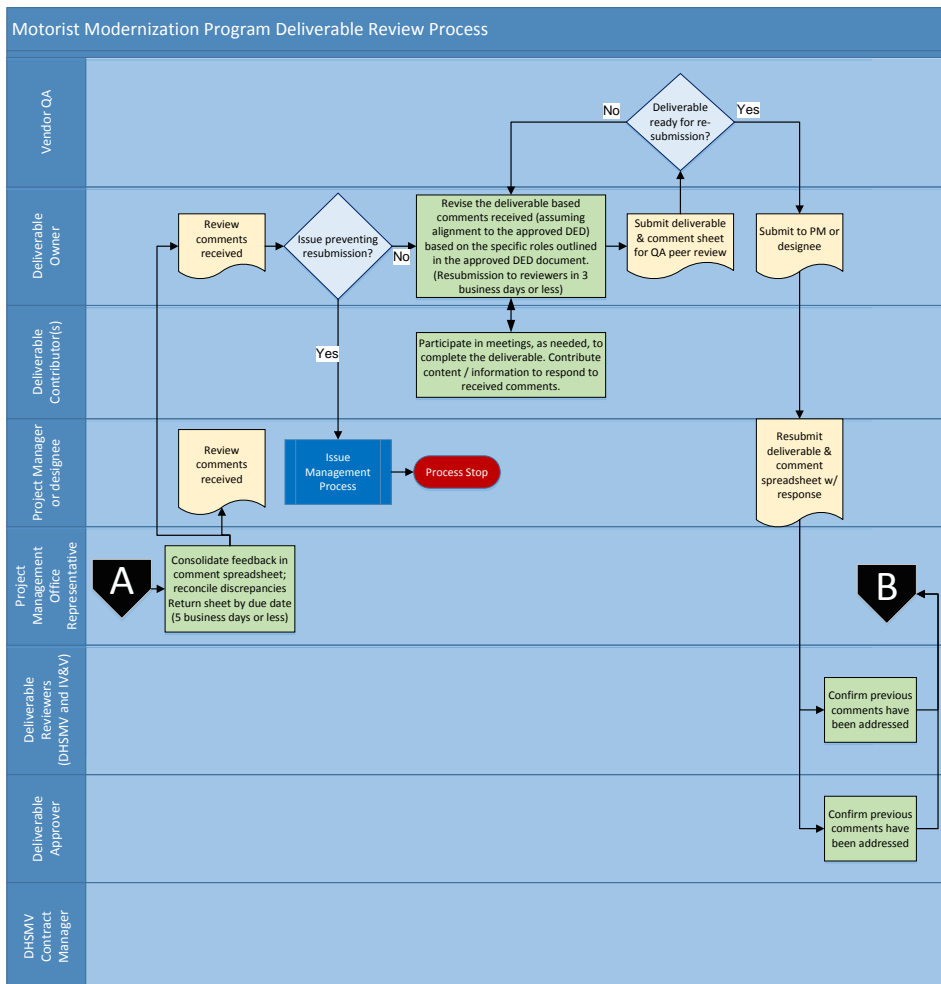


Figure 12-2 – Deliverable Review Process (2 of 3)



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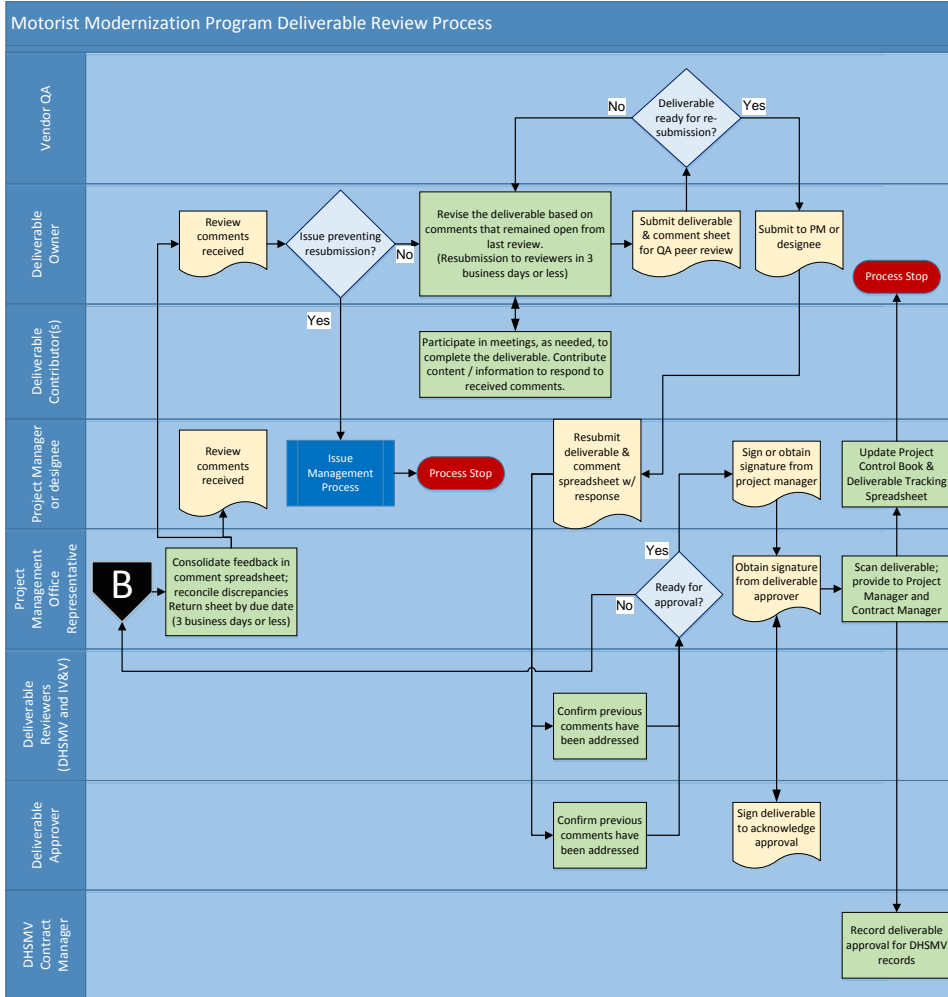


Figure 12-3 – Deliverable Review Process (3 of 3)

12.5. Deliverable Quality Metrics

Each project in the Motorist Modernization program will develop a quality management plan with pre-defined, quantitative and qualitative metrics to monitor the overall project quality. The metrics for Deliverable quality are outlined in Table 12-1– Deliverable Quality Metrics below. These metrics, along with those from the other areas, will be compiled and provided to the Program Manager and Program Director by the 10<sup>th</sup> of each month, or the next business day if the 10<sup>th</sup> is a non-working day.

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Metric	Description	Target / Measurement
# of Late Submitted deliverables	Count of deliverables originally planned for 1st submission in the prior month but whose delivery date was delayed.	Green: 0 Yellow: 1 to 2 Red: 3 or more
Mean duration of Deliverable Review Period	Mean calculation of the number of business days from the first period of the review until the deliverable is approved.	Green: 12 or fewer Yellow: 13 to 18 Red: 19 or more
% of planned approved deliverables not yet approved	Percentage of deliverables, since project start, that were planned to be approved but have yet to be approved	Green: ≤ 10% Yellow: 10% < to ≤ 25% Red: 25% >

Table 12-1 Deliverable Quality Metrics

**12.6. Quality Assurance Assessments – Internal and External**

The Department has contracted with an Independent Verification and Validation (IV&V) vendor for the duration of the program to provide a baseline assessment of the overall quality of the program, monthly progress monitoring, quality checkpoints, recommended improvements, and validation of realized program objectives.

The Agency for State Technology (AST) will also be performing quarterly reports on the overall status of the Motorist Modernization program. The Program Manager will be responsible for providing the appropriate documents such as an updated IMS, spend plan, and any other requested documentation to support status updates which will be provided to legislative staff pursuant to the Rules of the Agency for State Technology Chapter 74-1 Project Management and Oversight<sup>3</sup>.

Monthly reporting to the Department’s Tier III Governance will include an assessment of the overall health of the program (red-yellow-green status) based on the following metrics for the reporting period:

Metric	Measurement	Target / Measurement	Reporting Period
Scope	Did the project experience a scope change that impacted the project's costs or schedule, or other projects/the agency?	Green - No change in scope and scope is being managed Yellow - Scope change pending approval and impact one of the three Red - Scope change pending approval and impact at least two of the three Cost, Schedule or other	Weekly

<sup>3</sup> As of July 2016, the Rules of the Agency for State Technology Chapter 74-1 Project Management and Oversight are in DRAFT format.

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Metric	Measurement	Target / Measurement	Reporting Period
		projects/agency	
Schedule	Are the Milestones and Deliverables on schedule?	<p>Green: ≤ 5 business days</p> <p>Yellow: 6 &lt; to ≤ 10 business days</p> <p>Red: 10 &gt; business days</p>	Weekly
Budget (to date)	Is the project within budget for this reporting period? Budget/spend plan (30 day period) are completed as of the last day of the previous month.	<p>Green - Variance is +/- 10%</p> <p>Yellow - Variance is +/- 11%-20%</p> <p>Red - Variance is +/- 21% or greater</p>	Monthly
Budget (Overall)	Is the project within budget overall? Budget/spend plan (total project budget) are completed as of the last day of the previous month.	<p>Green - Variance is +/- 10%</p> <p>Yellow - Variance is +/- 11%-20%</p> <p>Red - Variance is +/- 21% or greater</p>	Monthly
Issue	Is the number and/or severity of issues increasing and/or is the issue over due for completion?	<p>Green - No new issue was reported and/or the previously reported issue is being managed and on target for resolution by the completion date</p> <p>Yellow - A new issue was reported and/or the previously reported issue is not being managed and/or not on target for resolution by the completion date</p> <p>Red - Two or more new issues were reported and/or the previously reported issue is not being managed and/or on target for resolution by the completion date</p> <p>*Managed is defined as PM is providing actionable updates to the status report indicating that the issue is being worked</p>	Weekly
Risk	Is the number and/or severity of risks stable or decreasing?	<p>Green - Risks are stable or decreased</p> <p>Yellow - A new risks was added to the project</p> <p>Red - Multiple risks were added and/or a previously reported risk increased in probability</p>	Weekly

**Table 12-2 Tier III Program/Project Health Metrics****12.7. System Quality**

System Quality is used to evaluate whether the system development & configuration complies with the requirements and business processes identified in the planning phase of the project. System Quality Activities include requirements traceability, testing and defect management, and stage containment activities. System Quality activities undertaken by the Motorist Modernization program will be worked collaboratively with the Information Systems Administration's Quality Assurance office.

**12.7.1. Requirements Traceability**

Requirements Traceability is the ability to trace from business requirements to the various design, build, and test components throughout all phases of the Project. Requirements tracing is a practice that greatly increases the quality and reliability of a project's final output while minimizing costly rework resulting from requirements errors. The Motorist Modernization program will use a Requirements Traceability Matrix (RTM) to confirm traceability across phases of the program.

Bidirectional traceability means that requirements can be traced both forwards and backwards, ideally through each step of the project. Bidirectional traceability helps determine that the solution addresses the source requirements and that all requirements and deliverables can be traced to a baselined RTM.

The business and technical requirements that are documented as part of the New System Requirements Tracking Report and Requirements Report deliverables shall be further refined and validated. Once the requirements are complete, they will be baselined. The baseline provides the inventory of confirmed requirements against which changes can be monitored and measured.

Beyond the baseline of these requirements, the following shall apply to support overall system quality:

1. Requirements altered or added as part of the requirements confirmation sessions will be recorded as part of the Program's Change Management Plan as documented in the Program's Project Management Plan.
2. During the design phases of the Project, the first portion of the requirements traceability will be initiated whereby the design that supports a particular requirement will be noted.
3. During the User Acceptance testing phases, the second portion of the requirements traceability task would commence. During this task, the test scenario used to validate a particular requirement would be noted.
4. The requirements, at the conclusion of testing, would be evaluated prior to deployment to ensure the business requirements have been addressed.

**12.7.2. Testing and Defect Management**

Testing activities are one of the primary mechanisms for confirming system quality. Each project in the Motorist Modernization program will evaluate quality as it pertains to testing and defect management using the following metrics. Quality Assurance testing will be performed in accordance with the Information Systems Administration’s Quality Assurance Office’s established standard.

**12.7.3. System Quality Metrics**

System Quality Metrics will be assessed and reported in accordance with the Information Systems Administration’s Quality Assurance Office’s established standard. Table 12-3 below provides examples of the types of metrics that may be collected.

Metric	Description	Target / Measurement
# of open change requests w/o decision	Total number of open, active change requests	Green: ≤ 5 Yellow: 5< to ≤ 25 Red: 25 >
# of change requests approved within the last 3 months	Count of change requests that shall provide insight into the quality of the business / functional requirements.	Green: ≤ 3 Yellow: 3< to ≤ 6 Red: 6 >
Change request aging	Mean calculation of the number of days between a change request being logged and a decision (to proceed or not)	Green: ≤ 10 Yellow: 10< to ≤ 15 Red: 15 >
# of open critical system defects	Count of open defects	Green: ≤ 15 Yellow: 15< to ≤ 25 Red: 25 >
Defect resolution time	Mean calculation of the time between defect opening and defect resolution deployed to the testing environment	Green: ≤ 2 days Yellow: 2< to ≤ 10 Red: 10 >
% of re-opened defects	Percentage of defects that have been re-opened after initial testing (by testing phase)	Green: ≤ 10% Yellow: 10%< to ≤ 15% Red: 15 >
Total # of defects	Total number of defects by testing phase (e.g., unit testing, integration testing, user acceptance testing, etc.).	<To be evaluated as part of the Executing phase based on anticipated widget count>

Table 12-3 System Metrics

## 13. Communications Management

Effective communication is one of the most important factors contributing to the success of the Motorist Modernization program.

Three clear communication channels will be established during the program organization and include:

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

The communications plan describes how program communication events will occur across the channels described above. The events themselves may be periodic or one-time in nature.

The Program Director will meet weekly with the OMM Leadership Team. Monthly meetings will be held with the Advisory Board and the Executive Steering Committee (ESC). Any decisions made by the ESC or recommendations made by the Advisory Board will be documented and included in the program artifacts. For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 6.7.

Additionally, the Program’s Communication Consultant will be responsible for communications conducted as a part of Organizational Change Management (referenced in Section 15).

The following tables (Table 13-1 and Table 13-2) detail the program communications and meetings used to manage the program.

PROGRAM COMMUNICATIONS				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Project Control Book (PCB) (includes risks, issues, action items, change control forms, etc.)	Team, PMO	PPM tool, SharePoint	Weekly	Program Manager / Assigned PM
Project Schedule	Project Team and Sponsors	PPM tool, SharePoint		Assigned PM
Project Management Plan document	Project Team and Sponsors	PPM tool, PCB, SharePoint	Within 30 days of approval	Assigned PM
Program Management Plan document	Program Team and Sponsors	PPM tool, PCB, SharePoint	Within 30 days of approval	Program Manager
Status Reports	Program	PPM tool,	Weekly	Program Manager

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PROGRAM COMMUNICATIONS				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
includes action items	Team and Sponsors	SharePoint		/ Assigned PM
Integrated Master Schedule (IMS)	Program Team and Sponsors	PPM tool, PCB, SharePoint	Weekly	Program Manager
OMM Leadership Team Status Report	Executive Leadership	Presentation/ Discussion	Weekly	Program Director Deputy Program Director
Support Services Vendor Deliverables	Program Team and Sponsors	PCB, SharePoint	Per Contractual Agreement	Contract and Budget Consultant
Periodic Demos and Presentations	Focus on specific groups	Presentation/ Discussion	As needed	Project Managers Program Manager Deputy Program Director Program Director

Table 13-1 Program Communications

MEETINGS				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Program Team Meeting	Program Team	Meeting	Weekly	Program Manager
Executive Steering Committee (ESC) Meeting	Executive Leadership	Meeting	Monthly	Program Director Deputy Program Director
Advisory Board Meeting	Program Advisory Board	Meeting	Monthly	Program Director Deputy Program Director
Change Control Board Meeting	Product Owners, Program Team	Meeting	Bi-Monthly	Deputy Program Director Program Manager

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MEETINGS				
OMM Weekly Leadership	OMM Leadership Team	Meeting	Weekly	Program Director Deputy Program Director
Program Sponsor Meeting	Motorist Services Director	Meeting	Weekly	Program Director
CIO Update Meeting	CIO	Meeting	Weekly	Program Director
Executive Sponsor Update Meeting	Executive Sponsor	Meeting	As Requested	Program Director
Program Team Meeting	Entire program team. Individual meetings for sub-teams, technical team, and functional teams as appropriate	Meeting	Monthly	Program Director
Focus Group / Coalition Meetings	All Stakeholders	Meeting	As Needed	Communications Consultant

Table 13-2 Program Meetings

13.1. Program Documentation

- All program artifacts shall be located in the PCB.
- All final program deliverables shall be located in the PPM tool.

13.2. Status Reporting

The Program Manager is responsible for working with each Project Manager and appropriate team members for all status reporting requirements. As development begins on the program, each Project Manager will be responsible for collecting performance metrics from Team Foundation Server (TFS) to demonstrate progress. This includes statistics on the number and status of user stories and test cases in each sprint. The table below details the different status reports used in the overall management of the Program. While AST status reports are not prepared by DHSMV, supplemental Program documentation may be required as a result of quarterly assessments.

Report	Frequency	Assigned to
OMM Leadership Report	Weekly	Program Director Deputy Program Director



**Motorist Modernization Program**

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Report	Frequency	Assigned to
		Program Management Team
Legislative Status Report	Monthly	Program Manager / Vendor Project Manager / DHSMV Project Managers
PMO Status Report (Daptiv)	Weekly <i>Due Thursdays by 3:00pm</i>	Program Manager / Vendor Project Manager / DHSMV Project Managers
Milestone Release Reports (performance metrics from TFS)	Monthly	Scrum Masters / Vendor Project Manager
DHSMV Governance Tier III Status Report	Monthly	Program Manager
AST Reports	Monthly and Quarterly	AST Project Manager with assistance from the Program Manager

**13.3. Updates to the Communications Plan**

The Communications Plan will be updated and distributed via e-mail whenever there is a change to the Plan.

## 14. Document Management

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The Document Management section provides the standards for managing all Motorist Modernization program documents.

### 14.1. Program Repository

#### Project Control Book

The Program Manager has established a Project Control Book for the Motorist Modernization program on the network drive. The Project Control Book contains artifacts specific to the project management aspects of the project as well as memorandums and meeting minutes. The Program Manager or their designee shall be responsible for publishing artifacts to this repository.

Please note there are a series of templates that have also been posted in the Project Control Book.

#### Document Management Guidelines

The following Document Management Guidelines are in place to support the program:

- Version history is tracked for all documents within the PCB
- Document feedback and approvals are logged in the PCB
- Drafts and Final Submission Deliverables are clearly distinguished
- Approved Documents are stored in a separate folder in the PCB
- Document control information is captured for all official deliverables

### 14.2. Document Naming Conventions

#### Deliverable Expectation Document (DED)

The Deliverable Expectation Document (DED) naming standard (one DED for every deliverable) is as follows:

***DED Del # - <Deliverable Name> v #.***

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

#### Deliverables

The Deliverable naming standard is as follows:

***Del # - <Deliverable Name> v #.***

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

**Motorist Modernization Program**

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Deliverable Consolidated Comments

The Deliverable Consolidated Comments naming standard is as follows:

***Del # - <Deliverable Name>Consolidated Comments v #.***

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Project-Specific Artifacts

Each project within the Motorist Modernization program will establish a PCB to store project-specific artifacts. Upon approval by the Senior Business Analyst or their designee, finalized work products (e.g., AS-IS process flows, business rules, requirements) may be migrated to the central requirements repository, Blueprint. For access to Blueprint, please contact the respective Project Manager.

## 15. Organizational Change Management

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The goal of change is to improve the organization by altering what and/or how work is done. The re-engineering of the Motorist Services technology environment will affect business processes, skill sets, roles, and responsibilities. Change management activities are integral to the success of the program.

Organizational change management (OCM) activities are facilitated by the program's Communications Consultant. OCM outlines the activities necessary to ensure staff participation in process development and improvement, skill set changes, and technology acceptance. Examples of these activities are the communication of program goals and benefits, documentation and communication of solution vendor/Department roles/responsibilities, development and communication of new process maps/roles, development and communication of a skills gap analysis, and the development and communication of a training plan.

Organizational change management (OCM) planning documents have been developed by the Department for Motorist Modernization Phase I. These include the following artifacts:

- **Communications Strategy and Plan:** Helps to manage expectations about the Motorist Modernization Phase I program and provides consistent messages among program team members, eventual end-user of the solution and other impacted stakeholders. Included as a component of this document is a tactical Communication Plan that charts out recurring and one-time communication events. This living document is updated on a quarterly basis.
- **Organizational Analysis:** Details key aspects of the various end-user groups (internal and external, as applicable) for consideration into the to-be business processes and technology. It is intended to provide a gap-analysis of the end-user groups' current and future work environments, tasks and activities, and knowledge, skills and abilities.
- **Training and Performance Support Strategy:** Details the overarching training needs and objectives for the project, per the Organizational Analysis. It also describes the various training methods (ex: Instructor-led, Web-based, Videos, Online Tip-sheets) that will be used; lays out a general training curriculum per user group; and describes any point-of-deployment and/or ongoing performance support mechanisms that will be used, such as help desks / user support sites.

The Communications Consultant will facilitate completion of similar documentation for the Motorist Modernization – Phase II Program and conduct periodic OCM readiness assessments throughout the program's life cycle to measure progress of closing gaps identified in the Organizational Analysis.

Please refer to the program's PCB for additional information on OCM.

## 16. Configuration Management

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ISA will be responsible for documenting any configuration changes made to the systems that are required for the Motorist Modernization program. Version control is the responsibility of the ISA software managers for systems in which they are responsible. Please refer to the *DHSMV Information Systems Development Methodology* for additional information on configuration management.

## 17. Vendor Management

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The scope of the Motorist Modernization program precipitates the need for a vendor management plan that outlines the activities necessary to ensure the quality, timeliness, and value of products and services procured by the Department. The Program Manager will work with the program team to identify program needs to be procured and work with the Program Director, Deputy Program Director and Contract and Budget Consultant to document and communicate Vendor/Department roles and responsibilities, which may include but not be limited to:

- Vendor staffing plan
- Vendor project plan
- Vendor risk management plan
- Performance metrics
- Change management request process
- Deliverables review and acceptance process
- Knowledge transfer and product support

Vendor management will be defined in the request for quote and scope of services documents developed as part of the procurement process for both Support Services and IV&V. All contract documents will contain specific terms and conditions as well as corresponding monetary damages for lack of performance.

## 18. Common Acronyms & Terms

Acronym	Description
AAMVA	American Association of Motor Vehicle Administrators
AST	Agency for State Technology
CDLIS	Commercial Driver License Information System
CR	Change Request
DL	Driver Licenses
DRIVE	Driver Related Issuance and Vehicle Enhancements
ECM	Enterprise Content Management
EFS	Electronic Filing System
ETR	Electronic Temporary Registration
FDLIS	Florida Driver License Information System
FRVIS	Florida Registration & Vehicle Information System
ISA	Information Systems Administration
MS	Division of Motorist Services
NSRC	Northwood Shared Resource Center
OMM	Office of Motorist Modernization
PCB	Project Control Book
PDC	Primary Data Center
PM	Project Manager
PMO	Project Management Office
PPM	Project Portfolio Management
SPS	Stored Procedure Services (ISA Development Section)
WAR	Warehouse and Reporting Services (ISA Development Section)
WBS	Work Breakdown Structure

## 19. Signature and Acceptance Page

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We have reviewed the Program Management Plan (PMP) and agree that the content of the document is accurate as of this point in the program and clearly delineate the work to be done for the program and the process in which decisions will be made. This document serves as the source of program information and will be updated as required.

**Prepared by** \_\_\_\_\_

Kristin Green  
Deputy Director, Office of Motorist Modernization

**Approved by** \_\_\_\_\_

Terry Rhodes  
Executive Director, DHSMV

\_\_\_\_\_  
Diana Vaughn  
Deputy Executive Director, DHSMV

\_\_\_\_\_  
Robert Kynoch  
Director of Motorist Services, DHSMV

\_\_\_\_\_  
Boyd Dickerson-Walden  
Chief Information Officer, DHSMV

\_\_\_\_\_  
Felecia Ford  
Chief of Administrative Reviews, DHSMV



**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**X. Appendix C: Project Schedule**

Schedule IV-B Motorist Modernization Phase II

MM Phase II Project Schedule										
ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessor	Resource Names	Notes	Status
0	0	<b>MM Phase II Project Schedule</b>	<b>0%</b>	<b>1697 days</b>	<b>Mon 10/3/16</b>	<b>Thu 6/29/23</b>				<b>Future Task</b>
1	1	<b>Initiation Phase</b>	<b>0%</b>	<b>16 days</b>	<b>Mon 10/3/16</b>	<b>Mon 10/24/16</b>				<b>Future Task</b>
2	1.1	Complete Governance Pre-Governance Processes	0%	10 days	Mon 10/3/16	Fri 10/14/16		MM Deputy Director,MM	Charter complete and signed. Com	Future Task
3	1.2	Obtain Governance Approval	0%	0 days	Tue 10/18/16	Tue 10/18/16 2		MM Deputy Director,MM		Future Task
4	1.3	Document Lessons Learned from Initiation Phase	0%	5 days	Tue 10/18/16	Mon 10/24/16 3		MM Deputy Director,MM Director,Program Mgr		Future Task
5	1.4	Initiation Phase Complete	0%	0 days	Mon 10/24/16	Mon 10/24/16 4				Future Task
6	2	<b>Planning Phase</b>	<b>0%</b>	<b>240 days</b>	<b>Mon 10/24/16</b>	<b>Fri 10/6/17</b>				<b>Future Task</b>
7	2.1	Setup Program Control Book (PCB) and Daptiv	0%	0 days	Mon 10/24/16	Mon 10/24/16 4		Program Mgr		Future Task
8	2.2	Setup Project Control Books (PCB) and Daptiv	0%	5 days	Tue 10/25/16	Mon 10/31/16 7		Program Mgr		Future Task
9	2.3	<b>Procure MM Phase II IV&amp;V Services &amp; Onboard Resources</b>	<b>0%</b>	<b>126 days</b>	<b>Tue 3/7/17</b>	<b>Fri 9/1/17</b>				<b>Future Task</b>
10	2.3.1	Draft RFQ for IV&V Services	0%	15 days	Tue 3/7/17	Mon 3/27/17		Contract Manager	Begin March 17, aligning with Legis	Future Task
11	2.3.2	Finalize RFQ for IV&V Services	0%	30 days	Tue 3/28/17	Mon 5/8/17 10		Contract Manager,Program		Future Task
12	2.3.3	Issue RFQ for IV&V Services	0%	0 days	Thu 6/1/17	Thu 6/1/17 11		Purchasing and Contract		Future Task
13	2.3.4	Review IV&V RFQ Responses	0%	10 days	Thu 6/22/17	Thu 7/6/17 12FS+15 da	Team			Future Task
14	2.3.5	Select Vendor for IV&V Services	0%	0 days	Thu 7/6/17	Thu 7/6/17 13		Team		Future Task
15	2.3.6	Complete Procurement	0%	15 days	Fri 7/7/17	Thu 7/27/17 14		Purchasing and Contracts		Future Task
16	2.3.7	Complete Staff Onboarding	0%	0 days	Fri 9/1/17	Fri 9/1/17 15FS+5 days		Program Mgr,Contract Manager		Future Task
17	2.4	<b>Procure MM Phase II Support Services &amp; Onboard Resources</b>	<b>0%</b>	<b>126 days</b>	<b>Tue 3/7/17</b>	<b>Fri 9/1/17</b>				<b>Future Task</b>
18	2.4.1	Draft RFQ for Support Services	0%	15 days	Tue 3/7/17	Mon 3/27/17 10SS		Contract Manager	Begin March 17	Future Task
19	2.4.2	Finalize RFQ for Support Services	0%	30 days	Tue 3/28/17	Mon 5/8/17 18		Contract Manager		Future Task
20	2.4.3	Issue RFQ for Support Services	0%	0 days	Thu 6/1/17	Thu 6/1/17 19		Purchasing and Contract		Future Task
21	2.4.4	Review Support RFQ Responses	0%	10 days	Thu 6/22/17	Thu 7/6/17 20FS+15 da	Team			Future Task
22	2.4.5	Select Vendor for Support Services	0%	0 days	Thu 7/6/17	Thu 7/6/17 21		Team		Future Task
23	2.4.6	Complete Procurement	0%	15 days	Fri 7/7/17	Thu 7/27/17 22		Purchasing and Contracts		Future Task
24	2.4.7	Complete Staff Onboarding	0%	0 days	Fri 9/1/17	Fri 9/1/17 23FS+5 days		Program Mgr,Contract Manager		Future Task
25	2.5	<b>Review &amp; Update Program/Project Management Plans</b>	<b>0%</b>	<b>85 days</b>	<b>Thu 6/1/17</b>	<b>Fri 9/29/17</b>				<b>Future Task</b>
26	2.5.1	Review Program Management Plan (PgMP)	0%	15 days	Thu 6/1/17	Wed 6/21/17 7		MM Deputy Director,Prog		Future Task
27	2.5.2	Finalize PgMP Updates	0%	5 days	Thu 6/22/17	Wed 6/28/17 26		MM Deputy Director,Prog		Future Task
28	2.5.3	Obtain PgMP Approval and Signoff	0%	0 days	Thu 7/6/17	Thu 7/6/17 27FS+5 days	Program Mgr			Future Task
29	2.5.4	Finalize Project Management Plans (PMP)	0%	15 days	Mon 9/11/17	Fri 9/29/17 28,24FS+5 days,8		PM		Future Task
30	2.6	<b>Review &amp; Assess Development Methodology (ISDM)</b>	<b>0%</b>	<b>20 days</b>	<b>Fri 9/1/17</b>	<b>Fri 9/29/17</b>				<b>Future Task</b>
31	2.6.1	Review Agile-Waterfall Methodology Documentation	0%	10 days	Fri 9/1/17	Fri 9/15/17 24		Team	Staff to review ISDN as a part of on	Future Task
32	2.6.2	Finalize Agile-Waterfall Methodology Documentation Assessment	0%	5 days	Mon 9/18/17	Fri 9/22/17 31		Team		Future Task
33	2.6.3	Obtain Agile-Waterfall Methodology Assessment Approval and Signoff	0%	0 days	Fri 9/29/17	Fri 9/29/17 32FS+5 days	Team			Future Task
34	2.7	<b>Review &amp; Update Testing Methodology</b>	<b>0%</b>	<b>20 days</b>	<b>Fri 9/1/17</b>	<b>Fri 9/29/17</b>				<b>Future Task</b>
35	2.7.1	Review Testing Methodology Documentation	0%	10 days	Fri 9/1/17	Fri 9/15/17 24		Team		Future Task
36	2.7.2	Finalize Testing Methodology Documentation Updates	0%	5 days	Mon 9/18/17	Fri 9/22/17 35		Team		Future Task
37	2.7.3	Obtain Testing Methodology Approval and Signoff	0%	0 days	Fri 9/29/17	Fri 9/29/17 36FS+5 days	Team			Future Task
38	2.8	Document Lessons Learned from Project Planning Phase	0%	5 days	Mon 10/2/17	Fri 10/6/17 37		MM Deputy Director,MM		Future Task
39	2.9	Planning Phase Complete	0%	0 days	Fri 10/6/17	Fri 10/6/17 38				Future Task
40	3	<b>Execution and Monitoring &amp; Control</b>	<b>0%</b>	<b>1664 days</b>	<b>Mon 10/31/16</b>	<b>Mon 6/12/23</b>				<b>Future Task</b>
41	3.1	Conduct Kickoff Meeting	0%	0 days	Tue 9/5/17	Tue 9/5/17 16FS+2 days	MM Director			Future Task
42	3.2	<b>Requirements Gathering and Documentation</b>	<b>0%</b>	<b>419 days</b>	<b>Mon 10/31/16</b>	<b>Fri 6/29/18</b>				<b>Future Task</b>
43	3.2.1	Document Existing "As-Is" Functionality (High Level)	0%	168 days	Mon 10/31/16	Fri 6/30/17 3		BA		Future Task
44	3.2.2	Gather New Suggestions, Ideas, and Functionality (Road Show)	0%	240 days	Wed 7/5/17	Fri 6/15/18 3		BA		Future Task
45	3.2.3	Perform Data Warehouse Needs Assessment	0%	60 days	Fri 9/1/17	Wed 11/29/17 24				Future Task
46	3.2.4	Document Detailed "As-Is" Functionality	0%	240 days	Wed 7/5/17	Fri 6/15/18 44SS		BA,Developer	Backend processes, business rules	Future Task
47	3.2.5	Perform Gap Analysis	0%	240 days	Wed 7/5/17	Fri 6/15/18 46SS		BA		Future Task
48	3.2.6	Document "To-Be" System Functionality	0%	240 days	Wed 7/5/17	Fri 6/15/18 44SS		BA,Developer		Future Task
49	3.2.7	Obtain Requirements Approval and Signoff	0%	0 days	Fri 6/29/18	Fri 6/29/18 48FS+10 days		Team		Future Task
50	3.3	<b>Requirements Validation and Approval</b>	<b>0%</b>	<b>221 days</b>	<b>Tue 8/14/18</b>	<b>Fri 6/28/19</b>				<b>Future Task</b>
51	3.3.1	<b>Validate Business Rules &amp; Functional Requirements with</b>	<b>0%</b>	<b>208 days</b>	<b>Tue 8/14/18</b>	<b>Tue 6/11/19</b>				<b>Future Task</b>
52	3.3.1.1	Perform Requirements Grooming	0%	208 days	Tue 8/14/18	Tue 6/11/19 49FS+30 days		BA		Future Task
53	3.3.1.2	Develop Test Cases	0%	193 days	Wed 9/5/18	Tue 6/11/19 52SS+15 da		Tester		Future Task
54	3.3.1.3	Develop Development Estimations	0%	193 days	Wed 9/5/18	Tue 6/11/19 52SS+15 da		Developer		Future Task
55	3.3.2	Validate Technical Requirements	0%	215 days	Tue 8/14/18	Thu 6/20/19 49FS+30 days		Enterprise Architect,Data Architect	TFS Setup & Build processes, Updates to Phase I Technical	Future Task
56	3.3.3	Perform Gap Analysis	0%	218 days	Tue 8/14/18	Tue 6/25/19 52SS		BA		Future Task
57	3.3.4	Obtain Validated Requirements Approval and Signoff	0%	0 days	Tue 6/25/19	Tue 6/25/19 52FS+10 da		Team		Future Task
58	3.3.5	Establish Requirements Baseline	0%	3 days	Wed 6/26/19	Fri 6/28/19 57		BA		Future Task
59	3.4	<b>Design, Development and Implementation</b>	<b>0%</b>	<b>1358 days</b>	<b>Tue 1/16/18</b>	<b>Mon 6/5/23</b>				<b>Future Task</b>
60	3.4.1	<b>Database Redesign</b>	<b>0%</b>	<b>368 days</b>	<b>Tue 1/16/18</b>	<b>Thu 6/27/19</b>				<b>Future Task</b>
61	3.4.1.1	Baseline Analysis - As Is Data Model	0%	20 days	Tue 8/14/18	Tue 9/11/18 55SS				Future Task

Schedule IV-B Motorist Modernization Phase II

MM Phase II Project Schedule										
ID	WBS	Task Name	% Complete	Duration	Start	Finish	Predecessor	Resource Names	Notes	Status
62	3.4.1.2	Baseline Analysis - To-Be Data Model	0%	60 days	Wed 9/12/18	Fri 12/7/18	61		Includes developing Conceptual, LC Determine major change points between Phase I and II models.	Future Task
63	3.4.1.3	Database Model Gap Analysis	0%	40 days	Mon 12/10/18	Wed 2/6/19	62			Future Task
64	3.4.1.4	Review and Update Data Model	0%	100 days	Thu 2/7/19	Thu 6/27/19	63			Future Task
65	3.4.1.5	Data Warehouse Planning & Design	0%	115 days	Tue 1/16/18	Tue 6/26/18	45FS+30 days		Details to be determined (based on needs assessment).	Future Task
66	3.4.2	<b>Database Environment Readiness</b>	<b>0%</b>	<b>190 days</b>	<b>Tue 2/27/18</b>	<b>Tue 11/27/18</b>				<b>Future Task</b>
67	3.4.2.1	Conduct Database Needs Analysis / Capacity Planning	0%	100 days	Tue 2/27/18	Wed 7/18/18	24FS+120 days			Future Task
68	3.4.2.2	Purchase Software	0%	90 days	Thu 7/19/18	Tue 11/27/18	67			Future Task
69	3.4.3	Document System Specifications	0%	60 days	Thu 3/28/19	Thu 6/20/19	55FF			Future Task
70	3.4.4	Document Migration Process Design	0%	60 days	Mon 12/10/18	Wed 3/6/19	62			Future Task
71	3.4.5	Document Synchronization Process Design	0%	60 days	Thu 3/7/19	Thu 5/30/19	70			Future Task
72	3.4.6	Data Migration (Initial)	0%	60 days	Thu 3/7/19	Thu 5/30/19	70			Future Task
73	3.4.7	Data Synchronization (Initial)	0%	60 days	Fri 5/31/19	Fri 8/23/19	71			Future Task
74	3.4.8	Assess Development Readiness	0%	30 days	Mon 7/1/19	Mon 8/12/19	58,72			Future Task
75	3.4.9	<b>Development</b>	<b>0%</b>	<b>863 days</b>	<b>Mon 7/2/18</b>	<b>Fri 12/3/21</b>				<b>Future Task</b>
76	3.4.9.1	Development Foundation Support	0%	20 days	Mon 7/2/18	Mon 7/30/18	49			Future Task
77	3.4.9.2	Development Release Planning	0%	180 days	Tue 8/14/18	Wed 5/1/19	52SS			Future Task
78	3.4.9.3	Enterprise Preparations	0%	115 days	Thu 3/21/19	Fri 8/30/19	52SS+150 d			Future Task
79	3.4.9.4	Software Development	0%	566 days	Thu 9/5/19	Fri 12/3/21	54FS+30 da	Developer	Includes Unit/Functional and System	Future Task
80	3.4.9.5	Development Complete	0%	0 days	Fri 12/3/21	Fri 12/3/21	79			Future Task
81	3.4.10	<b>Testing</b>	<b>0%</b>	<b>757 days</b>	<b>Mon 7/1/19</b>	<b>Thu 6/30/22</b>				<b>Future Task</b>
82	3.4.10.1	Develop Automated Test Scripts	0%	30 days	Mon 7/1/19	Mon 8/12/19	74SS	Tester		Future Task
83	3.4.10.2	Conduct End to End User Acceptance Testing (UAT)	0%	628 days	Thu 9/26/19	Fri 3/25/22	79SS+15 da	Tester		Future Task
84	3.4.10.3	<b>Conduct Enterprise System Testing</b>	<b>0%</b>	<b>130 days</b>	<b>Mon 12/6/21</b>	<b>Thu 6/9/22</b>				<b>Future Task</b>
85	3.4.10.3.1	Conduct End to End System Testing	0%	30 days	Mon 12/6/21	Wed 1/19/22	80	ISA		Future Task
86	3.4.10.3.2	Conduct End to End Regression Testing	0%	30 days	Thu 1/20/22	Wed 3/2/22	85	ISA		Future Task
87	3.4.10.3.3	Conduct Stress Testing	0%	30 days	Thu 3/3/22	Wed 4/13/22	86	ISA		Future Task
88	3.4.10.3.4	Conduct Performance Testing	0%	5 days	Thu 4/14/22	Wed 4/20/22	87	ISA		Future Task
89	3.4.10.3.5	Conduct Disaster Recovery Testing	0%	5 days	Thu 4/21/22	Wed 4/27/22	88	ISA		Future Task
90	3.4.10.3.6	Conduct Integration Testing	0%	30 days	Thu 4/28/22	Thu 6/9/22	89	ISA		Future Task
91	3.4.10.4	Conduct Security Testing - ISA Security Scan	0%	15 days	Fri 6/10/22	Thu 6/30/22	84	ISM		Future Task
92	3.4.10.5	Testing Complete	0%	0 days	Thu 6/30/22	Thu 6/30/22	83,84,91			Future Task
93	3.4.11	<b>Training</b>	<b>0%</b>	<b>803 days</b>	<b>Tue 12/3/19</b>	<b>Fri 2/10/23</b>				<b>Future Task</b>
94	3.4.11.1	Document Training Plan	0%	60 days	Tue 12/3/19	Thu 2/27/20	79SS+60 da	Trainer		Future Task
95	3.4.11.2	Develop Training Course(s)	0%	180 days	Tue 7/27/21	Wed 4/13/22	79SS+60 da	Trainer		Future Task
96	3.4.11.3	Conduct Training	0%	90 days	Thu 9/8/22	Fri 1/20/23	108FF-60 da	Trainer		Future Task
97	3.4.11.4	Update Training Plan and Manual	0%	15 days	Mon 1/23/23	Fri 2/10/23	96	Trainer		Future Task
98	3.4.12	<b>Policies and Procedures</b>	<b>0%</b>	<b>475 days</b>	<b>Fri 9/4/20</b>	<b>Tue 7/26/22</b>				<b>Future Task</b>
99	3.4.12.1	Update Policies and Procedures	0%	475 days	Fri 9/4/20	Tue 7/26/22	57FS+30 da	Motorist Services		Future Task
100	3.4.12.2	Review and Acceptance of Policies and Procedures	0%	0 days	Tue 7/26/22	Tue 7/26/22	99	Motorist Services		Future Task
101	3.4.13	<b>Implementation</b>	<b>0%</b>	<b>377 days</b>	<b>Mon 12/6/21</b>	<b>Mon 6/5/23</b>				<b>Future Task</b>
102	3.4.13.1	Determine Pilot Site(s)	0%	30 days	Mon 12/6/21	Wed 1/19/22	80	Team		Future Task
103	3.4.13.2	Develop Implementation Plan	0%	30 days	Thu 1/20/22	Wed 3/2/22	102,79	Team		Future Task
104	3.4.13.3	Pilot the System	0%	90 days	Fri 7/1/22	Mon 11/7/22	81,103,79	ISA		Future Task
105	3.4.13.4	Decision Point - Move to Production (Roll out)	0%	0 days	Mon 11/7/22	Mon 11/7/22	104			Future Task
106	3.4.13.5	Submit Request to Change Advisory Board (CAB)	0%	1 day	Tue 11/8/22	Tue 11/8/22	105	Program Mgr		Future Task
107	3.4.13.6	Change Advisory Board Approval	0%	1 day	Mon 11/28/22	Mon 11/28/22	106FS+10 da	ISA		Future Task
108	3.4.13.7	Move into Production/Go-Live	0%	90 days	Tue 12/6/22	Fri 4/14/23	107FS+5 da	ISA		Future Task
109	3.4.13.8	Stabilization Period for Production	0%	35 days	Mon 4/17/23	Mon 6/5/23	108	ISA		Future Task
110	3.4.13.9	Statewide Implementation Complete	0%	0 days	Mon 6/5/23	Mon 6/5/23	109			Future Task
111	3.5	Document Lessons Learned from Project Execution phase	0%	5 days	Tue 6/6/23	Mon 6/12/23	59	Team		Future Task
112	3.6	Execution and Monitoring & Control Phase Complete	0%	0 days	Mon 6/12/23	Mon 6/12/23	111			Future Task
113	4	<b>Project Closeout</b>	<b>0%</b>	<b>18 days</b>	<b>Tue 6/6/23</b>	<b>Thu 6/29/23</b>				<b>Future Task</b>
114	4.1	Document Project Closure Summary	0%	3 days	Tue 6/6/23	Thu 6/8/23	110SS	Program Mgr,PM		Future Task
115	4.2	Review Closeout Documentation with Stakeholders	0%	5 days	Fri 6/9/23	Thu 6/15/23	114	Program Mgr		Future Task
116	4.3	Receive Acceptance and Signature on Closeout Documentation	0%	10 days	Fri 6/16/23	Thu 6/29/23	115	Program Mgr		Future Task
117	4.4	Archive all Project Documentation, Artifacts, Records, etc.	0%	0 days	Thu 6/29/23	Thu 6/29/23	116	Program Mgr		Future Task
118	4.5	Closeout Phase Complete	0%	0 days	Thu 6/29/23	Thu 6/29/23	117			Future Task
119	5	<b>Project Complete</b>	<b>0%</b>	<b>0 days</b>	<b>Thu 6/29/23</b>	<b>Thu 6/29/23</b>	<b>118</b>			<b>Future Task</b>

**SCHEDULE IV-B FOR MOTORIST MODERNIZATION, PHASE II**

**XI. Appendix D: Project Risk Register**



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
Motorist Modernization (Parent Project)	1	Risk 1	If all of the project business /program area requirements, assumptions, constraints and priorities have not been identified, then the program schedule may be inaccurate.	Stakeholders and program areas will be consulted and requirement, assumptions, constraints, and priorities will be identified.	High	Medium	Schedule	Closed
Motorist Modernization (Parent Project)	2	Risk 2	If program communications are not managed effectively for the extensive internal and external visibility, then service and functionality issues may lead to negative publicity and erode program support.	Involve stakeholders early in the project. Solicit feedback and participation from stakeholders during design and acceptance testing.	High	Low	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	3	Risk 3	If the project development cycle extends for more than 3 years, then the overall program success may be compromised by the complexity and length of the schedule.	Continue to involve stakeholders throughout life of project. Monitor for potential changes to business requirements (state and federal changes). Ensure that new system architecture follows best practices.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	4	Risk 4	If organizational change management is not implemented to align revised business processes and technology changes, then some users may be reluctant to adopt and champion these changes.	A clear vision of the project objectives will be defined and communicated to all stakeholders by executive leadership and the Motorist Modernization Program Team. The Organizational Change Management Plan will address mitigation strategies associated with expected changes as identified. Project communication will be actively monitored and controlled. Any training needs will be defined and documented.	Medium	Low	Schedule	Active
Motorist Modernization (Parent Project)	5	Risk 5	If the Department fails to plan for and communicate business process and technology changes affecting other local/state/federal agencies and private partners, then the program may be impacted by implementation delays and negative publicity.	A clear vision of the project objectives will be defined and communicated to all stakeholders by executive leadership and the Motorist	High	Low	Schedule	Active



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
				Modernization Program Team. Project communication will be actively monitored and controlled. Any training needs will be defined and documented.				
Motorist Modernization (Parent Project)	6	Risk 6	If internal and external communication channels are not clearly established, then a lack of effective program communication will erode support.	Develop a comprehensive communications management plan and strategy.	Low	Low	Schedule	Closed
Motorist Modernization (Parent Project)	7	Risk 7	If there are other technology initiatives that compete in priority, then this may impact project timeline and costs.	Monitor.	Medium	Low	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	8	Risk 8	If all program expenditures have not been identified, then unanticipated program needs may increase the overall budget and impact the schedule.	Implement stringent change control and scope management. Engage in thorough requirements gathering to finalize cost estimates.	Medium	Low	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	9	Risk 9	No staff roles, responsibilities and skills have been identified – The lack of clearly defined roles and responsibilities could contribute to program failure.	Program Manager will work with the Program Director to fully define all team roles prior to the start of the project.	Medium	Low	Schedule	Closed
Motorist Modernization (Parent Project)	10	Risk 10	If the Department contracts with multiple vendors for program staff augmentation, then IT personnel turnover can occur and the inability to retain skilled personnel could impact the program timeline.	Manage staff augmentation needs through a single vendor. Evaluate alternative work arrangements to enable availability of skilled staff needed.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	11	Risk 11	If the Department incurs full time IT personnel turnover, then the inability to retain skilled personnel could impact the program schedule.	Monitor.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	12	Risk 12	If knowledgeable business team members are not dedicated to the program and/or associated projects full-time, then this could elongate timelines, increase costs, or contribute to program failure.	Project Managers and Business Analysts will be as flexible as possible when scheduling sessions or meeting to review requirements. All project meetings will have clear and documented	Medium	High	Schedule	Mitigation Plan defined



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
				objectives. Adequate time will be provided for the review and approval of project deliverables.				
Motorist Modernization (Parent Project)	13	Risk 13	All stakeholders are not represented on the Program Board	Monitor.	High	High	Schedule	Closed
Motorist Modernization (Parent Project)	14	Risk 14	If additional requirements or missing requirements are identified, then this may elongate timelines, increase costs, or contribute to program/project failure.	Stakeholders will be consulted and requirements documented and defined.	High	Medium	Schedule	Active
Motorist Modernization (Parent Project)	15	Risk 15	If the program does not document the technical architecture and a fully developed design specification, then this may elongate timelines, increase costs, or contribute to program/project failure as well as result in negative publicity.	Stakeholders will be consulted and design spec will be clearly documented and defined.	Medium	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	16	Risk 16	If the program communications plan does not address and manage the various stakeholder geographical, cultural, and organizational differences, then this could make communications difficult and may cause missed requirements or unreasonable expectations.	Ensure communications plan addresses statewide communications. Ensure remote participation by employing collaborative tools such as video-conferencing and conference calls.	High	Medium	Schedule	Mitigation Plan defined
Motorist Modernization (Parent Project)	17	Risk 17	Several external entities could be impacted by this project – Failure to communicate could result in delays and negative publicity.	Ensure communication plan addresses statewide communications. Emphasis early and frequent communication.	High	Medium	Schedule	Closed
Motorist Modernization (Parent Project)	18	Risk 18	FY15-16 funding for MM Phase I does not include funds to purchase a data replication tool. Inability to purchase a tool could cause schedule delays as the tool is an instrumental piece in the setup of the new development environment. If unable to purchase the tool in FY15-16, the program staff will be unable to perform an automated migration of data between the existing database environment and the modernized ("TO-BE") database environment. This could cause the scope of the development effort to be reduced due to the lack of an automated data migration process and could cause potential schedule	Program Manager will work with the Enterprise Architecture team and CFO to determine program workarounds and financial options.	High	Medium	Schedule, Scope	Closed



## Project Risk Register

Project Name	Risk ID	Risk Name	Risk Description	Mitigation Description	Probability of Occurrence	Impact	Impacted Areas	Risk Status
			delays due to the need for a manual migration process to be created which is time-consuming and error-prone. In addition, staff will be unable to test and validate the new database synchronization process.					
Motorist Modernization (Parent Project)	19	Risk 19	Resource knowledge base may be lost if tasks are completed on schedule and the program halts for 4 months due to receiving a reduced appropriation than requested. The amount for FY15-16 is \$6.4M vs. the requested \$8.4M.	Program Manager will work with the project teams and program leadership to develop program options for the funding provided.	High	High	Budget, Schedule, Scope	Closed
Motorist Modernization (Parent Project)	20	Risk 20	Procurement language for Support Services contract may not be resolved and agreed upon DHSMV and Accenture legal. If all parties cannot agree, the Accenture contract would be terminated and the program would slip the schedule to procure a new vendor and onboard new resources without sufficient background knowledge.	Program Director to work with DHSMV Procurement Chief and Legal to work through contract language and negotiate resolution.	Medium	High	Schedule	Closed
Motorist Modernization (Parent Project)	21	Risk 21	If Department Oracle (12c) database infrastructure upgrades are not implemented in FY 2016-17, then the Pilot and Production deployment will be delayed, and overall program costs could increase.	Program Director will work with DHSMV CIO and leadership to ensure dependencies are understood and addressed. Infrastructure would be at least 5 years out of support as well as exceeding capacity available to support the production environment.	High	High	Budget, Schedule, Scope	Mitigation Plan defined
Motorist Modernization (Parent Project)	22	PG - Risk 22	If the list of database dependencies exceeds the original documented requirements / user stories to be developed and tested, then Citations, CDLIS, FR, and possibly other functional areas may increase in scope and impact the program schedule.	Analyze the dependencies to formulate a solution and implement a scope change request as appropriate.	High	Medium	Schedule	Active
Motorist Modernization (Parent Project)	23	PG - Risk 23	If MTM (test tool) licenses are not purchased to match the projected team of testers needed, then testing tasks may slip the schedule.	Program Manager to proactively work with Budget Admin and team to assess overall need and ensure tools are in place for all team members.	Low	Low	Budget, Schedule	Active
<b>Overall</b>						<b>23</b>		
<b>1</b>	<b>Overall</b>							



**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** Highway Safety and Motor Vehicles

**Budget Period 2017-18**

**Budget Entity:** \_\_\_\_\_

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 20__ - __</b>	<b>FY 20__ - __</b>	<b>FY 20__ - __</b>
Interest on Debt (A)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (B)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Repayment of Loans (C)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (D)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service (E)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (F)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Explanation: The department does not have any debt service payments.  
 \_\_\_\_\_  
 \_\_\_\_\_

**SECTION II**

**ISSUE:** \_\_\_\_\_

(1)	(2)	(3)	(4)	(5)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>JUNE 30, 20__</b>	<b>JUNE 30, 20__</b>
(6)		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 20__ - __</b>	<b>FY 20__ - __</b>	<b>FY 20__ - __</b>
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (I)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (K)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**ISSUE:** \_\_\_\_\_

<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>JUNE 30, 20__</b>	<b>JUNE 30, 20__</b>
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 20__ - __</b>	<b>FY 20__ - __</b>	<b>FY 20__ - __</b>
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (I)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (K)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2017 - 18**

**Department:** Highway Safety and Motor Vehicles

**Chief Internal Auditor:** Julie Leftheris

**Budget Entity:** 76000000

**Phone Number:** (850) 617-3104

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Office of the Inspector General 201415-22	6/30/2016	Florida Highway Patrol	<p>FHP is excluding unmarked motor vehicles when determining the motor vehicle trade list.</p> <p>The Audit recommended the FHP consider all motor vehicles when determining the trade list based on minimum replacement criteria, including: vehicle year, mileage, make, model, condition, and safety factors.</p>	<p>An assessment of the FHP fleet has been completed in preparation for the 2016-17 Legislative Budget Request cycle and upon FHP Executive Staff approval, replacement of unmarked motor vehicles will commence consistent with DMS minimum replacement criteria and FHP prioritization criteria.</p>	
		Bureau of Accounting	<p>Vehicle and driver credit card purchases are not regularly reviewed.</p> <p>We recommend the Bureau of Accounting review vehicle card and driver card charges and collaborate with other Department divisions to ensure purchases are valid and comply with Department Policy 10.02.</p>	<p>By October 1, 2015, the Bureau of Accounting will develop the necessary exception reports to identify unallowable Vehicle and Driver Card charges. The exception reports will be regularly reviewed and will be disseminated to the applicable Department divisions to ensure purchases are valid and comply with Department Policy 10.02.</p>	

<p>Office of the Inspector General 201516-02</p>	<p>6/30/2016</p>	<p>Bureau of Purchasing and Contracts</p>	<p>Adequate oversight of P-card transaction was not in place.</p> <p>We recommend the Bureau of Accounting establish a process that provides documentation of supervisory approval of P-Card transactions prior to submission to the Bureau of Accounting.</p>	<p>The Division of Administrative Services proposes the following in response to the finding:</p> <ul style="list-style-type: none"> <li>• Applications for the P-Card will be modified to ensure that the supervisor is absolutely aware that it is imperative they are monitoring their employee's use of the P-Card;</li> <li>• To assist Department supervisors in their monitoring of P-Card transactions, the agency P-Card Administrator will provide to each Bureau Chief or Troop Commander a monthly report of the P-Card usage by their employees;</li> <li>• The existing iLearn for P-Card users will be updated to reinforce the need for supervisor knowledge of P-Card transactions;</li> </ul>	
				<ul style="list-style-type: none"> <li>• As part of the P-Card best practices, and risk tolerance assessment, Division staff have reviewed P-Card usage Department-wide and the Division intends to reduce the number of P-Cards currently held throughout the Department in order to reduce its overall financial exposure; and</li> <li>• The DHSMV P-Card Guidelines will be updated to reflect the above mentioned changes.</li> </ul>	

<p>Office of the Inspector General 201516-10</p>	<p>6/30/2016</p>	<p>Division of Administrative Services</p>	<p>IT equipment which cost less than \$1,000 is not recorded in the Department's property records.</p> <p>The audit recommended the Division of Administrative Services coordinate with the Division of Information Systems Administration to formally consider recording all IT resources as property to ensure equipment which could contain confidential or sensitive data is included in the yearly inventory process, and verification of existence and condition is confirmed.</p>	<p>The Division of Administrative Services has begun working with the Division of Information Systems Administration to ensure that all IT equipment which could contain confidential or sensitive data is properly accounted for. The proposed solution being discussed would track IT equipment outside of the State's inventory system administered by the Department of Financial Services in order to minimize the effect on the Department's State financial records. Following a decision on the methodology and systems to be used for the tracking of the equipment, it is anticipated that a statewide roll out of any new system will require several months to be completed. The tentative goal would be to have a new system purchased or otherwise acquired by December 31, 2016.</p>	
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<p>Department of Financial Services</p> <p>Bureau of Auditing</p> <p>January 19, 2016</p>	<p>6/30/2016</p>	<p>The Department</p>	<p>The Department was unable to provide evidence all expenditures were verified as required by CFO Memorandum No. 01 (1997-98) and the Reference Guide for State Expenditures, for invoices totaling \$6.9 million. The Department reimbursed WEB Bank monthly for fuel, repairs and maintenance for state owned vehicles charged to the WEX bank charge card. The Department verified charges for repairs, maintenance and out-of-state fuel by reconciling employee submitted charge receipts to the itemized charges listed on the invoice; however, paid receipts for in-state fuel charges were maintained in the field and were not reconciled to the invoice. The Department paid an average of \$833,000 monthly for in-state fuel purchases without verifying the charges were accurate.</p>	<p>Due to the volume of the Department's WEX card fuel purchases, the WEX contract manager will perform a sample audit of fuel charges monthly with emphasis placed on the frequency of transactions by employee. The monthly review, beginning March 1, 2016 for February 2016 purchases, will assist the Department in certifying the in-state fuel charges and will also assist in validating proper use of the WEX card.</p> <p>Beginning immediately, March 1, 2016 after the monthly exception reports are disseminated to division management, the WEX contract manager will follow up with division management to ensure proper review is exercised.</p>	
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			<p>The Department compensates the Transportation Security Administration (TSA) for each nationwide background check performed on commercial drivers who have paid the fee for a hazardous materials endorsement. TSA submits a monthly invoice along with an itemized report of drivers for whom a background check was performed. The Department did not reconcile the total amount of the invoice to the itemized report.</p> <p>Additionally, there was no evidence to support the Department's comparison of approximately 1200 drivers included on the report to the drivers listed on the Motorist Maintenance database that establishes a driver's eligibility for a hazardous materials endorsement. When asked, the Department indicated that only four (4) or five (5) drivers included on the report were cross checked against the database. A review of .4 percent (.4%) of the drivers is insufficient to establish accuracy.</p>	<p>The Department has implemented a process of reconciling the itemized report of drivers with the summary billing invoice as recommended by Financial Services' staff during the audit fieldwork. Reconciliations will be maintained as part of the contract file. Effective with the February 2016 billing, the Department will initiate a process to select a random sample of 5% of the drivers on the monthly itemized report for confirming against the records in the driver license database. Results will be documented and maintained in the contract file.</p>	
			<p>Subsection 287.057(14), F.S. states that the agency shall designate an employee to function as contract manager who shall be responsible for enforcing performance of the contract terms and conditions. The Department had no monitoring procedures in place to verify receipt of all deliverables prior to certifying invoices for payment for the Secure Records Solution, Inc. (SRS) agreement. The 10-year agreement valued at \$1,143,607 establishes a fixed monthly payment for document retrieval, destruction and storage.</p>	<p>Records requests submitted by the Bureau of Records to the vendor are now tracked on a spreadsheet to ensure they are handled timely. The vendor is required to provide requested documents within 2 business days of the request. The spreadsheet will be reviewed daily to identify any requests that are outstanding past 3 business days. The contract manager of the unit will contact the vendor regarding any late requests in an effort to ensure they meet the requirements of the contract.</p>	

		<p>The Department was unable to provide evidence of their verification that documents were retrieved as requested or the SRS was in compliance with performance measures established in the agreement. The auditor's review of documented requests made in September, 2015 revealed that 20 percent of these requests were not fulfilled in accordance with the terms and conditions of the agreement. In addition, the Department could not provide evidence that it verified scheduled documents had been destroyed by the provider, as required in the contract.</p>	<p>Currently, the vendor provides a list of the records that have met retention and signs a records disposition document once the records have been destroyed. In addition, we will now require the vendor to provide a statement verifying that records were destroyed as required in the contract. The destruction of records occurs at the Secure Records Solutions facility in Thomasville, Georgia.</p>	
		<p>The assigned contract manager for WEX Bank is responsible for the administrative duties associated with issuing, cancelling and maintaining card access. However, the certification statement was signed by the contract manager's supervisor. The supervisor did not review the invoice and has no knowledge that the services were satisfactorily received and in compliance with the terms of the agreement.</p>	<p>Since the audit was completed, the Department has hired a new supervisor over the Fleet and Property unit and the new supervisor has been designated the contract manager for WEX Bank. As contract manager, this supervisor will review and sign all payments to WEX Bank once knowledge that the services identified on the terms of the agreement were satisfactorily received.</p>	

			<p>Subsection 287.057(14) F.S., requires that each contract manager who is responsible for agreements in excess of the threshold amount for Category Two under Section 287.017, F.S., must, at a minimum, complete training conducted by the CFO for accountability in contracts and grant management. The Contract Manager for the agreement with American Association of Motor Vehicles Administrators has not attended Advancing Accountability training since February 7, 2013, which is beyond the timeframe required by CFO Memorandum No. 04 (2014-2015) and CFO Memorandum No. 04 (2009-2010).</p> <p>Pursuant to Section 287.057 (14)(b), F.S., the contract manager would now be required to complete the Florida Certified Contract Manger training since the value of the agreement exceeds \$100,000. At the time of the audit, the contract manager was not scheduled to attend either Advancing Accountability or the Florida Certified Contract Management training.</p>	<p>The contract manager has been on the Department of Management Services' roster for Florida Certified Contract Management training since 2014. The Department of Management Services provides a limited number of training slots per agency, per quarter and this contract manager was not selected for training by the audit date. The Department was notified on December 8th by the Department of Management Services that it would be provided 17 slots for training during the fourth quarter of Fiscal Year 2015-2016. The contract manager will attend the required training during the fourth quarter time-frame although specific dates have not been set at this time.</p>	
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# Fiscal Year 2017-18 LBR Technical Review Checklist

Department/Budget Entity (Service): HIGHWAY SAFETY AND MOTOR VEHICLES
Agency Budget Officer/OPB Analyst Name: SUSAN CAREY/CAROLINE YORK

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	7601	7610	7621	7640	

## 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 (no trust fund files for narrative columns)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? <b>(CSDI)</b>	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? <b>(CSDI)</b>	Y	Y	Y	Y	

### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verivy. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	
1.4 Has security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? <b>(CSDR, CSA)</b>	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. <b>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.</b>					
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## 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	
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	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	

## 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	
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### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	

TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
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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.					
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Action		Program or Service (Budget Entity Codes)				
		7601	7610	7621	7640	
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	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.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>	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 <u>adjustment made to the object data</u> .					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency <u>must adjust Column A01</u> .					
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 2015-16 approved budget. Amounts <u>should be positive</u> .					
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.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y	Y	Y	Y	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y	Y	Y	Y	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		7601	7610	7621	7640	
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	
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	N/A	N/A	N/A	
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #17-001?	Y	Y	Y	Y	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	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	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	
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, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	
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	
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	
<b>AUDIT:</b>						
7.20	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y	
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		7601	7610	7621	7640	
7.24	Have FCO appropriations been entered into the nonrecurring column (A04)? ( <b>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)</b> )	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 <b>OADA/OADR</b> 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 67 through 71 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 2017-18 data center costs, this can be completed by using the State Data Center data processing services category (210001).					
TIP	If an appropriation made in the FY 2016-17 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.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	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	
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	
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	
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	
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	
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	
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		7601	7610	7621	7640	
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	
8.10	Are the statutory authority references correct?	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	
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	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	
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	
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	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	
8.17	If applicable, are nonrecurring revenues entered into Column A04?	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	
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	
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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	
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	
8.25	Are current year September operating reversions appropriately shown in column A02?	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	
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Y	Y	Y	Y	
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	
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	
<b>AUDITS:</b>						
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	
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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		7601	7610	7621	7640	
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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I?	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	
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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.)	Y	Y	Y	Y	
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	Y	Y	Y	Y	
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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
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	
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
14.1	Do the reductions comply with the instructions provided on pages 104 through 106 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Y	Y	Y	Y	
<b>15. SCHEDULE VIIIC (EADR, S8C)</b>						
<b>(LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)</b>						
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	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	
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	

Action		Program or Service (Budget Entity Codes)				
		7601	7610	7621	7640	
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	
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	
<b>AUDIT:</b>						
15.6	Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	Y	Y	Y	Y	
<b>16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions)</b>						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
16.3	Does the FY 2015-16 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	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)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: <b>Audit #3</b> 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	
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	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.					
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
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	
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 134 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US</b> ?	Y	Y	Y	Y	
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	
<b>AUDITS - GENERAL INFORMATION</b>						
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.					

Action	Program or Service (Budget Entity Codes)				
	7601	7610	7621	7640	

**18. CAPITAL IMPROVEMENTS PROGRAM (CIP)**

18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	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	
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