State of Florida
Department of Children and Families

Rick Scott
Governor

Mike Carroll
Secretary

LEGISLATIVE BUDGET REQUEST

October 14, 2016

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Children and Families is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2017-18 Fiscal Year.

The Schedule VIIIB-2 requires agencies to review and consider reductions in existing agency recurring fund budgets. The instructions with the schedule and the allocation of targets create a requirement for the exercise. The Department of Children and Families has completed the exercise as required by the instructions. Program offices, field leadership and senior management within the agency considered the targets, the requirements of the exercise, agency legislative mission, as well as impacts. The result is contained in Schedule VIIIB-2 after final review.

It is important to note that the agency is not recommending that any of the proposed funding cuts be implemented. Any reductions to the agency's budget will have a negative impact on critical safety net programs and services that are currently operating at capacity.

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

Sincerely,

Mike Carroll
Secretary

Florida Department of Children and Families
Temporary Special Duty—General Pay Additives Implementation Plan
Fiscal Year 2017-2018

Pursuant to Section 110.2035(7)(b), F.S., this is the Florida Department of Children and Families (DCF) written plan for implementing temporary special duties—general pay additives for Fiscal Year 2017-18. DCF requests approval to continue long-standing pay additives. The agency is not requesting any additional rate or appropriations for these additives.

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

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

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

Certified Nursing Assistant Pay Additive

1. Northeast Florida State Hospital (NEFSH) has Career Service positions that require incumbents to possess a Certified Nursing Assistant (CNA) license that are assigned to one of six living areas at NEFSH.

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

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

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

3. These additives will be in effect from the first day the incumbent is assigned to one of the designated living areas.

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

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

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

The positions are in the following classifications:

--Human Service Worker I

--Human Service Worker II

--Unit Treatment and Rehabilitation Specialist

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

8. Annual Cost approximately $145,918.86.

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

Specialty Care Additive

1. Florida State Hospital (FSH) has 0ne (1) position that received a Temporary Special Duty—General pay additive for working in the medically complex geriatric area (Special Care Level II).

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

3. This additive will be effective until the incumbent leaves that position/designated area.

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

5. A total of one (1) F.T.E. Career Service position receive the pay additive. The position in the following Career Service classification:

--Human Service Worker I

6. This pay additive have been provided for at least the past 12 years.

7. Annual Cost approximately $1,079.52.

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

Child Protective Investigator/ Senior Child Protective Investigator Pay Additive

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

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

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

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

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

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

6. A total of 50 F.T.E. Career Service positions will receive the pay additive.

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

8. Annual Cost approximately $113,130.42.

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

Abuse Registry Counselor (Hotline) Pay Additive

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

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

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

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

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

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

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

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

8. Annual Cost approximately $114,354.50.

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

Questions regarding this plan may be directed to Dennise G. Parker, HR Director, at (850) 488-1700 or Debra Johnson in DCF HQ HR at (850)717-4543.

DEPARTMENT LEVEL EXHIBITS & SCHEDULES

Schedule VII: Agency Litigation Inventory

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

Agency:	**Department of Children and Families**		
Contact Person:	Rebecca Kapusta	Phone Number:	850-921-8675

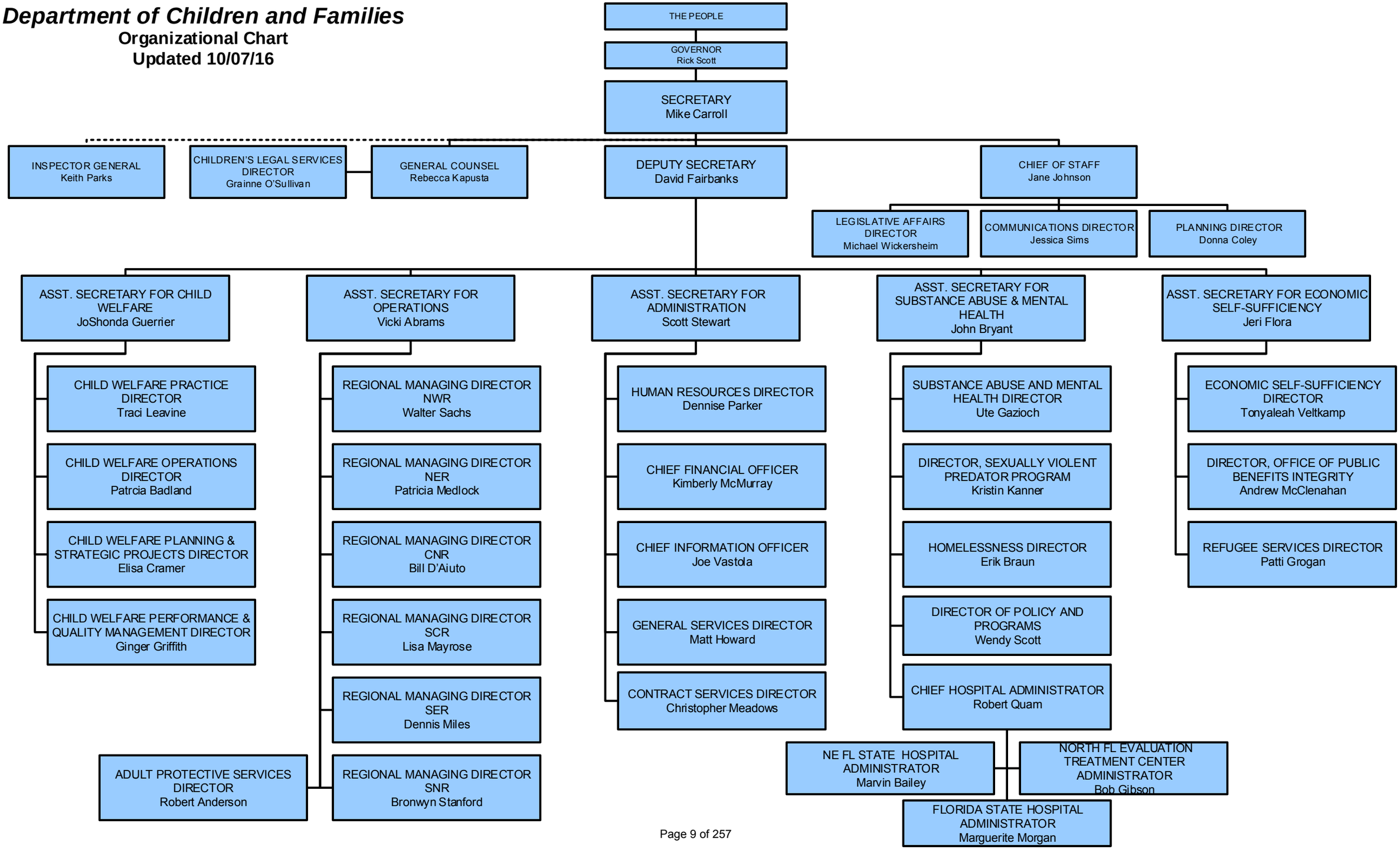
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Northwood Associates, LLC., Plaintiff, v. KEN DETZNER, in his official capacity as SECRETARY OF STATE, CHAD POPPEL, in his official capacity as SCRETARY OF MANAGEMENT SERVICES, KEN LAWSON, in his official capacity as SECRETARY OF BUSINESS AND PROFESSIONAL REGULATION, MIKE CARROLL, in his official capacity as SECRETARY OF CHILDREN AND FAMILIES, CISSY PROCTOR, in her official capacity as EXECUTIVE DIRECTOR of the DEPARTMENT OF ECONOMIC OPPORTUNITY, JASON M. ALLISON, in his official capacity as STATE CHIEF INFORMATION OFFICER, PAM STEWART, in her official capacity as COMMISIONER OF EDUCATION, DEPARTMENT OF STATE, DEPARTMENT OF MANAGEMENT SERVICES, DEPARTMENT OF BUISINESS AND PROFESSIONAL REGULATION, DEPARTMENT OF CHILDREN AND FAMILIES, AND AGENCY FOR STATE TECHNOLOGY.
Court with Jurisdiction:	In the Circuit Court of the Second Judicial Circuit, In and for Leon County, Florida
Case Number:	2016 CA 000823
Summary of the Complaint:	Plaintiff, Northwood Associates, LLC, as the lessor of 1940 North Monroe Street, Tallahassee, FL (aka Northwood Centre), entered into leases with DMS (Lease No.: 720:0139), under which DBPR, DCF, and AST occupy space, and DBPR (Lease No.: 790:0098), hereinafter "Leases." Plaintiff alleges that DMS and DBPR entered into a scheme in which they and the remaining defendants breached their contracts and terminated the Leases early. Plaintiff alleges the scheme included drafting and lobbying for legislative proviso language for the Legislature to not appropriate funds to pay for the Leases, and to prohibit any state entity from using their funds to pay the Leases, or any other state leases concerning Northwood Centre. The Legislature passed the language on March 6, 2016. Plaintiff seeks to have the court declare the Legislative Proviso invalid and unconstitutional and seeks separate counts of breach of contract for each Lease.
Amount of the Claim:	Plaintiff seeks declaratory and injunctive relief as to the Proviso, and seeks compensatory damages, attorney's fees, costs of suit, and pre and post judgment interest relating to the breach of contracts.

Specific Statutes or Laws (including GAA) Challenged:	Florida Statute, section 255.2502	
Status of the Case:	A Motion to Dismiss is set for hearing on October 6, 2016.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Office of Policy and Budget – June 2016

Department of Children and Families

Organizational Chart
Updated 10/07/16



CHILDREN AND FAMILIES, DEPARTMENT OF

SECTION I: BUDGET	FISCAL YEAR 2015-16 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	2,995,998,712	4,993,696
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	29,039,806	-132,163
FINAL BUDGET FOR AGENCY	3,025,038,518	4,861,533

SECTION II: ACTIVITIES * MEASURES	Number of Units	*(1) Unit Cost*	*(2) Expenditures (Allocated)*	*(3) FCO*
Executive Direction, Administrative Support and Information Technology (2)				2,333,696
Protective Services * Number of people receiving protective supervision, and protective intervention services and number of investigations completed	59,847	814.94	48,771,777	
Healthy Families * Number of families served in Healthy Families	9,723	2,714.78	26,395,763	
Protective Investigations * Number of investigations	197,058	1,190.75	234,647,433	
In-home Supports * Number of children under protective supervision (point in time)	6,853	57,808.06	396,158,654	
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.	2,368	101,571.37	240,521,010	1,000,000
Child Welfare Legal Services * Number of termination of parental rights petitions filed	4,648	11,852.73	55,091,481	
Emergency Shelter Supports * Number of adults with a safety plan upon leaving domestic violence shelter after 72 hours	7,034	5,580.43	39,252,727	
Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline	463,864	48.86	22,663,205	
Adoption Subsidies * Number of children receiving adoption subsidies	36,769	5,025.50	184,782,479	
Adoption Services * Children receiving adoptive services	6,715	7,346.39	49,331,040	
License Child Care Arrangements * Number of facilities and homes licensed	6,130	3,134.95	19,217,234	
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver	443	4,581.02	2,029,391	
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program	1,293	1,537.05	1,987,410	
Emergency Stabilization * Number of children served	2,652	2,436.10	6,460,543	
Emergency Stabilization * Number of adults served	32,529	2,662.45	86,606,838	
Provide Forensic Treatment * Number of adults in forensic commitment served	3,071	51,159.75	157,111,578	
Provide Civil Treatment * Number of people in civil commitment served	1,900	104,201.39	197,982,643	
Community Support Services * Number of children served	19,298	3,077.70	59,393,444	
Community Support Services * Number of adults with forensic involvement served.	3,715	94,089.10	349,541,007	
Assessment * Number of sexual predators assessed	4,231	7,551.52	31,950,492	
Detoxification * Number of children served	2,674	2,915.91	7,797,148	
Treatment And Aftercare * Number of children with substance-abuse problems served	26,280	1,184.70	31,134,017	
Detoxification * Number of adults provided detoxification and crisis supports	20,943	3,012.27	63,086,032	
Prevention * Number of at-risk adults provided prevention services	205,256	154.90	31,794,424	
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery	22,068,552	0.76	16,667,771	
Refugee Assistance * Number of refugee clients served	10,051	10,213.06	102,651,459	
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments	361	31,707.11	11,446,265	
Homeless Assistance * Number of grants issued for homeless clients	46,246	309.70	14,322,299	1,527,837
Eligibility Determination/Case Management * Number of cash assistance payments	948,581	329.12	312,196,971	
Issue Welfare Transition Program Payments * Total number of cash assistance applications	515,813	300.22	154,857,413	
TOTAL			2,955,849,948	4,861,533

SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS		2,690,498	
OTHER			
REVERSIONS		66,498,013	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		3,025,038,459	4,861,533

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

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

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

Schedule XII Cover Sheet and Agency Project Approval	
Agency:	**Schedule XII Submission Date:**
Project Name:	**Is this project included in the Agency's LRPP?** **____ Yes ____ No**
FY 2017 - 2018 LBR Issue Code:	**FY 2017 -2018 LBR Issue Title:**
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head: **Printed Name:**	**Date:**
Agency Chief Information Officer: ***(If applicable)*** **Printed Name:**	**Date:**
Budget Officer: **Printed Name:**	**Date:**
Planning Officer: **Printed Name:**	**Date:**
Project Sponsor: **Printed Name:**	**Date:**

SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT COMMODITY CONTRACTS

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

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

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

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

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Children and Families **Contact:** Kimberly McMurray (850) 717-4733

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 [X] 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	Base	R & B	0.0	3,014.4
b	TANF Cash Assistance	B	(10.6)	0.0
c	CAT Teams (Growth) - see line x	B	7.0	0.0
d	Family Intensive Treatment (FIT) Teams - see line x	B	3.4	0.0
e	Central Receiving Facilities	B	5.8	0.0
f	State Mental Health Facilities	B	3.0	9.1
g	Step Down Forensic Beds	B	2.7	0.0
h	Substance Abuse and Mental Health Statewide Initiatives - see line x	B	24.6	0.0
i	Homeless Coalitions	B	0.7	0.3
j	Adoption Incentive Award	B	2.9	0.0
k	Community Based Care	B	22.2	14.3
l	Community Based Care Risk Pool	B	7.3	5.0
m	Foster Care - Cost of Living	B	0.6	0.7
n	Maintenance Adoptions Subsidy Growth	B	14.6	6.3
o	Sheriff's Grants	B	3.1	0.0
p	Child Protection & Abuse Investigations	B	6.2	0.0
q	Marisa Amora Claim	B	1.7	1.7
r	Maintenance and Repair	B	2.2	7.0
s	Substance Abuse and Mental Health IT System	B	2.0	0.0
t	Information Technology 36204C0 "Federal Information Security and Privacy for Minimum Acceptable Risk Standards for Exchanges (MARS-E)" 36212C0 "Florida Abuse Hotline Technology Refresh" 36328C0 "ACCESS Florida System Strategic Initiatives" 36329C0 "Medicaid Eligibility System (MES) System Software Annual License Maintenance" 36353C0 "Enhancing Family Safety Through Florida Safe Families Network (FSFN) Services Modules Improvements"	B	0.0	30.5
u	Family Safety & Preservation Services 3000550 "Child Care Regulation Workload" 4000225 "Child Welfare Legal Services Contract with Attorney General" 4000690 "Temporary Emergency Shelter Services Program Growth" 4001260 "Enhanced Services for Human Trafficking Victims" 4007300 "Specialized Treatment Programs for Dually Served Youth and Families" 4402070 "Results Oriented Accountability and Data Analytics"	B	0.0	6.3
v	Mental Health Services 4004580 "Cost of Living Adjustment - Mental Health Contracted Agencies"	B	0.0	4.7
w	Economic Self-Sufficiency Services 4007200 "Nonrelative Caregiver Program Growth" 4402080 "Automated Employment and Income Verification"	B	0.0	5.0

x	Community Substance Abuse & Mental Health Services 4000880 "Expansion of Community Forensic Multidisciplinary Teams and Housing Support for Forensic Individuals" 4005070 "Expansion of Team Interventions to Prevent Out-of-Home Care for At-Risk Children" 4005210 "Juvenile Incompetent to Proceed Program" 4009420 "Services for High-Risk Youth, Families and Adults (Pinellas) - Executive Order" 4009430 "Housing with Support Services (Alachua) - Executive Order 4009440 "Re-Entry Transitional Housing, Job Training and Behavioral Health Clinical Services (Broward) - Executive Order" 4009450 "Specialized Forensic Florida Assertive Community Treatment (FACT) Team - Broward County" 4009490 "Disaster Behavioral Health" 4009690 "Managing Entities Housing Initiative" 4009700 "Managing Entities Care Coordination" 4009710 "Managing Entities Administrative Reconciliation"	B	0.0	20.7
y	4000A60 "Increase for Compliance with The Fair Labor Standards Act Changes"	B	0.0	3.4

3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue estimates (from

The Department of Children and Families identified needs for the Legislative Budget Request associated with its mission and statutory mandates. Following the identification of needs the department analyzed its ability to meet those needs utilizing existing resources (base budget) and resource requests above base (state and federal funds). Utilizing that planning/funding frame the department prioritized its Legislative Budget Request. Differences between the Departments request and the Long Range Financial Outlook are related to differences in the planning/funding frame utilized by the Department and the those preparing the Long Range Financial Outlook.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - June 2016

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

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

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

BUDGET ENTITY LEVEL EXHIBITS & SCHEDULES

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

For Fiscal Year 2017-18

October 14, 2016

DEPARTMENT OF CHILDREN AND FAMILIES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date:
Project Name: ACCESS System Completion	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2017-18 LBR Issue Code:	FY 2017-18 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): C. Darren Brooks, 850-320-9145, darren.brooks@myflfamilies.com	

AGENCY APPROVAL SIGNATURES

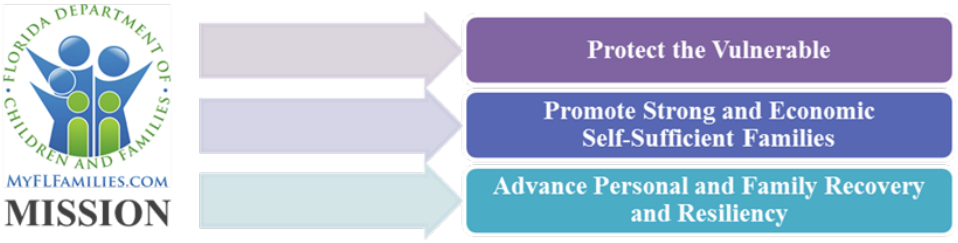
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.

Agency Head: Mike Carroll Printed Name: Mike Carroll	Date: 10/14/16
Agency Chief Information Officer (or equivalent): Joe Vastola Printed Name: Joe Vastola	Date: 10/13/16
Budget Officer: Kimberly Mumma Printed Name: Kimberly Mumma	Date: 10/13/16
Planning Officer: C. Darren Brooks Printed Name: C. Darren Brooks	Date: 10/13/16
Project Sponsor: Jeri Culley Printed Name: Jeri Culley	Date: 10/13/16

Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Jennifer Pang, 678-860-4916, Jennifer.Pang@northhighland.com
Cost Benefit Analysis:	Brian Peacock, 850-321-2628, Brian.Peacock@northhighland.com
Risk Analysis:	Charles Coldwell, 850-321-0316, Charles.Coldwell@northhighland.com
Technology Planning:	Paul Moore, 850- 459-1195, Paul.Moore@northhighland.com
Project Planning:	Trent Sawyer, 678-469-6198, Trent.Sawyer@northhighland.com

Executive Summary

The Department of Children and Families (DCF or Department) affects the lives of Floridians at a moment when their needs are greatest. The mission of the Department is to work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency.



As part of its mission, DCF is responsible for administering the state's Economic Self-Sufficiency Services (ESS) programs which include Supplemental Nutritional Assistance Program (SNAP, also known as food assistance or food stamps), Temporary cash Assistance for Needy Families (TANF, also known as cash assistance), and Medicaid.

Customers in Florida use these various forms of assistance to provide the necessities for their families while moving towards self-sufficiency. In SFY 2015-2016, the Department processed over 16.7 million applications for assistance across all public assistance programs.

The current ESS eligibility system, known as the ACCESS (Automated Community Connection to Economic Self-Sufficiency) Florida System is originally based on Ohio's legacy Integrated Eligibility System, Client Registry Information System (CRIS). CRIS was designed almost 40 years ago, built in four years, and implemented in 1978. A major enhancement to the legacy CRIS system was implemented in 1992, known as CRIS-E. DCF transferred the CRIS-E system from Ohio and implemented the system in Florida in 1992, which became to be known as the FLORIDA (Florida Online Recipient Integrated Data Access) system. In 2004, DCF implemented a web-based front end to the FLORIDA mainframe to begin what is known as the ACCESS modernization initiative. In 2004, DCF knew the FLORIDA system was an already aged mainframe and began initiatives to bring efficiencies to the program, while still maintaining the original aging infrastructure.

The core processing in the FLORIDA mainframe was developed using COBOL, a relic programming language primarily used on mainframe computer systems and last taught in public colleges over ten years ago. FLORIDA also includes IMS, a hierarchical database technology, and even proceeded relational database technology (such as DB/2). Relational database technology is more widely used, and is generally considered superior to hierarchical databases for ease of change, integration, and data sharing and reporting. IMS is widely considered fragile and difficult to maintain, increasing the cost and time to implement changes.

In 2011, the Department completed a Schedule IV-B for modernization of the ACCESS Florida System. The estimated total cost at the time was $249.3 million. With the federal enhanced match in effect, the state share estimate was $55.9 million. The Department moved forward with planning for the full of the public assistance system and subsystems. DCF oversaw the completion of fully developed requirements for the full completion and procured vendors to support the project management functions. Finally, the Department developed and released an Invitation to Negotiate (ITN) for a system integrator to design, develop, and implement a modernized ACCESS Florida System. After evaluating three compliant proposals to the ITN, all within the anticipated budget, negotiations began with the three vendors. Due to the compressed schedule to meet minimal compliance with the Affordable Care Act (ACA) dates, the Department collaborated with the Legislature to ultimately narrow the focus to just the Medicaid component of the ACCESS Florida system. During negotiation, the Department reduced the scope of the ITN and the procurement completed without a formal protest.

During the 2012 Legislative Session, the Legislature appropriated funds to update the Department's Medicaid eligibility system to achieve minimal compliance with the statutory requirements of the ACA. The resulting technology investment, referred to as the Medicaid Eligibility System (MES), provides enhanced processing for Medicaid eligibility determinations, included a new customer self-service portal (SSP), introduced a variety of

limited real-time interfaces, and a number of platform and application advancements. This was an example of how the technology of the ACCESS system was a major constraint which inhibited the Department from being able to implement policy changes quickly or efficiently. To meet ACA requirements, the Department had to implement the MES system, a new duplicative eligibility processing system requiring over $40M to implement. Had the ACCESS system used current technology, the implementation of the ACA requirements would have been a fraction of the costs. Given the ACA changes only impacted one program for which the Department performs eligibility processing, the aging infrastructure is still in use today for the other programs.

While technical advances have been made to the system over the last several years, the changes to support the new requirements for Medicaid eligibility determination did not replace the core mainframe hardware and software components of the ACCESS Florida System, and did not address broader business process improvements in the SNAP and TANF programs. Further, the addition of new components contributed to furthering the complex and inefficient working environment for Department eligibility staff. Over the last ten years, the Department focused on reducing program administration costs and staff reductions due to funding cuts. By obtaining federal processing waivers, increasing self-service, and changing policy, the Department has been able to significantly reduce program administration costs. In 2003, Florida SNAP administrative costs per case were $30.56 and have steadily decreased with modernization efforts. As of 2014, the cost per case in Florida is $7.74 in comparison to $67.23 in California, $39.84 in New York, and $20.46 in Texas. As a result, the Department has been nationally recognized as being the most efficient state in the country.

Florida has become a target for increased fraud, trafficking, and identity theft activity. The outdated ACCESS Florida system technology limits opportunities for further innovation, such as the use of data analytics to detect and prevent fraud, as well as potential increase cost avoidance, and curtail waste and abuse of public assistance benefits. For example, current technology is limited in its ability to automatically check whether Florida customers are receiving the same benefits in multiple states. The current system limits the Department to either using manual workarounds which are prone to errors and inefficiencies, or to look to more costly technical solutions due to the FLORIDA mainframe. Furthermore, the Department faces challenges in achieving mandated compliance with state requirements and ever-changing federal policies such as MARS-E privacy and confidentiality standards. To improve program benefit integrity, best practices include real-time data sharing and integration with all relevant programs involved in the support and care of customers receiving benefits. Capabilities like real-time data analytics, forecasting, risk assessment, and a 360 view of customer information will significantly enhance cost avoidance and open more paths to self-sufficiency.

In order to mitigate the risks associated with the ACCESS System's dependency on an aging infrastructure, and complete the architecture reengineering initiated with the MES Project, a strategic completion of the remaining components that rely on the legacy infrastructure is necessary. By taking an agile and modular approach in accordance with CMS recommendations, the Department will be able to address its critical business needs.

The Department evaluated two alternatives for analysis for the ACCESS System Completion Schedule IV-B (Feasibility Study):

1. Full completion of the ACCESS System over a three-year period, to maximize the pull down of available federal funds at the enhanced match rate of 90%, with a seven-year cost of $161.6 million and a return on investment of 45.18% within a payback period of 5.33 years.
2. Full completion of the ACCESS System over a five-year period, with a seven-year cost of $161.6 million and a return on investment of (28.82)% within a payback period of 5.90 years.

The results of the analysis revealed the first alternative scoring as the best option from a uniform set of evaluation criteria measured against baseline expectations.

A. Business Need

The aging technology of the current ACCESS system is not efficient and drives insufficient and less than optimal effectiveness for operations, confidentiality, and fraud controls. As a result, the business and performance outcomes the Department must accomplish are diminished. There is a business need to infuse and leverage technology to achieve a higher state of operational efficiency, fraud, trafficking, and identity theft detection and prevention. The gains in operational efficiency and fraud prevention from the infusion of state-of-the-art, modular, and maintainable

technology will allow the Department to re-value current staffing levels to focus on improved outcomes, customer self-sufficiency, and current day challenges and threats.

The Department must act now to achieve savings from the Office of Management and Budget (OMB) time-limited A-87 Cost Allocation Exception which allows state human service programs to improve their programs' impact and effectiveness with the help of technology at significantly lower cost through a 90/10 federal matching rate[1]. Originally set to expire in December 2015, OMB has allowed a one-time extension for an additional three years through December 2018. Florida continues to receive far less federal grant dollars than other states, ranking last in in the nation in per capita federal grants[2].

Specifically, this opportunity will allow the Department to maintain the progress it has made, maximize new technology it has already invested in, support optimal system, program, and departmental integrations, more effectively improve family outcomes and customer self-sufficiency, and combat an emerging fraud and identity theft crisis by addressing the following critical business needs:

- Create flexibility to improve customer service and ever-increasing expectations regarding service levels.
- Improve privacy and confidentiality controls.
- Implement technology-and data-based prevention and detection tools while remaining agile to reduce incidents of fraud, trafficking, and identity theft.
- Utilize 90/10 federal funding while it is still available.
- Maintain benchmarks by leveraging a modular approach for flexibility and innovation.

B. Options Considered

To address increasing program integrity demands, aging technologies, and changing policy requirements, the Department assessed and scored two alternatives for ACCESS System Completion:

- **Alternative 1** –ACCESS System Completion through a strategic update of remaining legacy system functionality and infrastructure that would replace the high priority system initiatives over a **three-year period**.
- **Alternative 2** –ACCESS System Completion through a strategic update of remaining legacy system functionality and infrastructure that would replace the high priority system initiatives over **a five-year period**.

Both alternatives seek to *implement all priority initiative*s, resulting in the completion of the systems and architecture reengineering of ACCESS, including *full migration off the FLORIDA mainframe,* so that the resulting application meets the Department's business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less costly to maintain. The alternatives build on and extend the modern architecture introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today while maximizing technical and business process benefits, and providing the flexibility and scalability needed for the future.

Both alternatives are aligned with the Department's goals and objectives, yet, one alternative is more effective in pursuing those goals with a quicker rate of return based on varying risks, tradeoffs, benefits, and drawbacks. The following section will provide a comprehensive analysis and comparison of each option.

C. Recommended Approach Based on Business and Financial Criteria

Based upon the analysis of the alternatives and the needs of the Department, it is recommended that seeking implementation of the ACCESS System Completion as outlined under Alternative 1, completing the full system over a three-year period is in the best interest of DCF, the Department's customers, and the State.

[1] The original timeline allowed human services programs to benefit from investments in the design and development of state eligibility-determination systems through December 31, 2015. The Tri-Agency letter titled "Additional Guidance to States on the OMB Circular A-87 Cost Allocation Exception" and dated July 20, 2015 provided a one-time extension of that timeline through December 31, 2018.

[2] Since 1996, Florida has never ranked higher than 43rd in per capita federal grants.
Florida TaxWatch, *Why Florida ranks last in the nation in federal grant funding*, 15 September 2016.

1. Evaluation Results

The assessment of the two alternatives considered in this Feasibility Study included a set of uniform evaluation criteria that measured each option against a level base of expectations. The detailed definition of the criteria, along with the rationale for each individual score, is presented within the Feasibility Study. The table below presents a summary view of the results of the evaluation for each of the alternatives.

		Alternative 1		Alternative 2	
Criteria	**Wt.**	**Score**	**Total**	**Score**	**Total**
1. Alignment with Goals	20%		16.43		16.43
2. Customer Value	10%		7.50		6.88
3. Risk Mitigation	15%		8.75		7.50
4. Technical Architecture	10%		8.00		6.50
5. Business Alignment	20%		13.75		13.75
6. Data Architecture	5%		4.69		4.69
7. Financial	20%		13.00		6.00
Total Weighted Score	**100%**	**72.12**		**61.74**	

Score	Explanation	Numeric Value
	The alternative does not address the criteria	0
	The alternative minimally addresses the criteria	25
	The alternative moderately addresses the criteria	50
	The alternative highly addresses the criteria	75
	The alternative fully addresses the criteria	100

2. Project Financial Terms

The estimated costs and summary financial terms, based on a seven-year analysis period, for each of two alternatives are shown below.

Measure	Alternative 1 *3-Year System Completion*	Alternative 2 *5-Year System Completion*
First-Year (2017-2018) Cost	$28.5M	$26.9M
Total (7-Year) Cost	$161.6M	$161.6M
Total (7-Year) Benefit	$234.6M	$208.1M
Net Present Value (NPV)	$37.9M	$20.6M
Return on Investment (ROI)	45.18%	28.82%
Internal Rate of Return (IRR)	16.27%	12.79%
Payback Period	5.33 years	5.90 years

D. Benefits of Recommended Solution

Implementing the ACCESS System Completion will prepare DCF for the next phase of public assistance innovation by building the foundation for an agile environment which can be adjusted readily to meet future needs.

Some of the benefits of Alternative 1 include:

- Builds off of the expensive investments made in the system over the last three years
- Fully realizes technical and data architecture goals
- Fully maximizes the proposed enhanced federal matching funds
- Allows the Department to keep pace with the changing public assistance environment and remain a leader in the nation in performance
- Improves public assistance program integrity by implementing available fraud detection and prevention mechanisms on the front-end
- Supports increased worker productivity through increased levels of process automation, and improved ability to meet timeliness and quality standards by:
    - Triaging error and fraud prone applications for further review
    - Streamlining case intake processes through systems consolidation
    - Implementing a consolidated Worker Dashboard with up-to-date, prioritized work items
    - Automating and expanding No Touch functionality
    - Consolidating customer data to a single Shared Customer Repository which positions the Department to engage and lead enterprise initiatives
    - Enhancing the Notice generation system to make configurable, on-demand updates
    - Providing near real-time information
- Eliminates the compounding risks associated with the outdated infrastructure
- Significantly reduces ongoing support costs
- Improves workforce management and balancing
- Promotes the Department's business goals of promoting personal and economic self-sufficiency
- Improves customer service
- Increases benefit accuracy
- Utilizes resources effectively

E. Risks and Issues of Maintaining the Status Quo

While the business related benefits derived from functional and technical enhancements provide sound justification for modernizing the ACCESS Florida System completion, consideration must also be given to the risks associated with remaining on the existing mainframe system. ACCESS Florida is the state's sole mechanism for determining eligibility for the SNAP, TANF, and Medicaid programs.

While the system has proven fairly reliable in the past, it has lately been considerably taxed in capacity and performance, and its reliability does not translate to the flexible, scalable platform the Department needs to serve as the foundation for immediate business needs and future technological innovation. The utilization of the mainframe system central processing unit (CPU) already routinely reaches 100% during peak periods, yet the average CPU utilization is expected to continue increasing by 23.5% over the next 12 months. Other states and agencies have already taken advantage of enhanced federal funding to move ahead with their reengineering efforts, and have replaced outdated mainframe technology to a more flexible and interoperable enterprise environment. Ohio has already fully replaced the CRIS-E system FLORIDA was built on and recently went live with a new COTS-based Medicaid system with a Service Oriented Architecture (SOA) designed to provide flexibility, utilizing 90/10 federal funding.

Issues related to DCF remaining on the current mainframe architecture include:

- **Choice** – mainframe technologies are generally proprietary in nature, thus limiting the Department's ability to move the associated workload to other platforms.
- **Risk** – the current ACCESS Florida mainframe is based on technology developed almost 40 years ago. It will become increasingly difficult (and costly) to find skilled resources to operate and maintain this technology. If the reengineering does not soon occur, the Department will find itself incapable of responding to any change, mandated or desired.
- **Cost** – modern multi-layer architecture allows systems to incorporate commodity components, as opposed to specialized mainframe components (CPU, memory, disk, I/O) which provide comparable performance at a fraction of the cost.
- **Scalability** – the scalability and adaptability of mainframe systems is limited by archaic, hierarchical databases and application code based on COBOL, .Net and older versions of Java.
- **Agility** – inherently rigid mainframe architecture and resulting silo applications prevent DCF from responding efficiently to the ever-changing security, legislative and regulatory landscape. There are currently over 300 maintenance and enhancement requests with very limited resources to fund these changes.

Any failure of ACCESS Florida would have a detrimental effect on the Department's customers, as well as the other state agencies that rely on data from the ACCESS system for the performance of their public duties, potentially affecting the funds made available to the State from the Federal Government. Other state programs affected by ACCESS Florida system failure include Medicaid services provided by the Agency for Health Care Administration (AHCA) and Florida Healthy Kids (FHKC), Public Assistance Fraud in the Florida Department of Financial Services (DFS), Workforce Services in the Department of Economic Opportunity (DEO), and Child Support Enforcement in the Department of Revenue (DOR).

Though the Department has made great strides to make process improvements and achieve efficiencies by building layer upon layer atop the FLORIDA system, DCF has reached capacity in the ability to continue adapting to customer needs and evolving technology. With an aging and inflexible mainframe system architecture, *eventual system failure is inevitable and unpredictable*. Taken together, these factors represent a clear and legitimate risk to ongoing operations that would be avoided by the recommended solution.

F. Conclusion

The challenges facing Florida are common to public assistance programs nation-wide: more sophisticated clientele with higher expectations, persistent caseloads, rapidly increasing incidents of fraud, trafficking, and identity theft, limited fiscal resources, and aging technology.

The recommended next step is to approve the ACCESS System Completion three year plan (Alternative 1), which has a first year General Revenue (GR) total of $3.9 million with 90/10 FFP ($28.5 million total funds), and a three year state cost of $39.1 million ($161.6 million total funds)[3].

The Feasibility Study shows the realization of the greatest business benefits under Alternative 1. Further, this alternative minimizes the financial impact to the State by fully maximizing the extension of the enhanced 90/10 federal funding. The three-year completion would improve services and efficiency and result in $234.6 million in tangible benefits over seven years.

Also critical is that this option allows the Department to maximize the availability of the CMS cost allocation exception. The Department proposes taking this opportunity to continue as a world class organization and pioneer in public service administration to leap forward to reestablish its role as the national leader with the completion of the ACCESS System while the state cost would be minimal. Further, the Department can fund the state portion of the cost with Federal SNAP Bonus funds received for maintaining low error rates. As such, additional state funds would be minimal to support the ACCESS System Completion in the first year. Although not guaranteed, should the State maintain its SNAP performance, it is possible to continue using bonus funding to defray state GR expenses for additional years.

[3] References to state costs assume approval of the 90/10 FFP from the Florida and Federal government. Also, the enhanced 90/10 FFP is referenced as an approximation. Certain costs are not eligible for the 90/10 match rate, such as software licenses and solely SNAP and TANF costs result in an estimated effective rate of approximately 86/14 FFP.

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

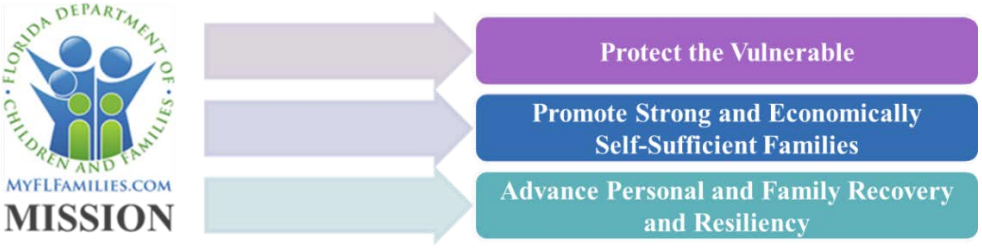
A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

1. Business Need

Subsection 20.19(4), Florida Statutes created the ESS Program Office (ESS Program, Program Office) within DCF. The responsibilities of this office encompass public assistance benefit eligibility services operated by the Department. These services are administered through the ACCESS Florida System (ACCESS Florida), the Department's eligibility service delivery system. This program provides public assistance eligibility services for SNAP, TANF, and Medicaid services.

The mission of the Department is to "work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency." The mission of the Program Office is to "promote strong and economically self-sufficient communities by providing public assistance to individuals and families on the road to economic recovery through private, community, and interagency partnerships that promote self-sufficiency." The array of public assistance eligibility services offered by the ESS Program further these objectives on multiple fronts.



ESS is aligned with, has been instrumental in driving the DCF strategic vision since its inception in SFY 2002-2003. Upon the initial rollout of ACCESS Florida, DCF entered a new era in its approach to administering cash assistance, SNAP, and Medicaid. Over time, the system has undergone continual evaluation and improvement in order to adapt to the realities of a changing customer base and persistent caseload with limited financial resources. The model seeks to empower frontline staff in their ability to make eligibility decisions by utilizing streamlined workflows, policy simplification, and technology innovations. The ESS Program engages the community by providing access to services through a combination of state staff and a community partnership network designed to serve as additional portals to services for customers mutually served by the partner agencies and the Department.

The ESS Program served an unduplicated customer base of 5.2 million people in the month of August 2016. As of that same month, 3.5 million people received Medicaid through ACCESS Florida along with 78,000 who received cash assistance (84.5 percent of whom were children). As the third most populous state in the country, Florida has the third largest food assistance caseload; assisting 3.4 million people in August 2016 with an average monthly benefit of $121.80 per person for a total annual cost of $5.3 billion. In a typical workday, ACCESS Florida receives and processes approximately 61,000 applications and images approximately 75,000 pieces of supporting evidence. In SFY 2015-2016, the Department processed over 16.7 million applications for assistance across all public assistance programs.

Exhibit II-1 DCF Organizational Chart illustrates the high-level organizational structure of DCF and the relationship of ESS services:

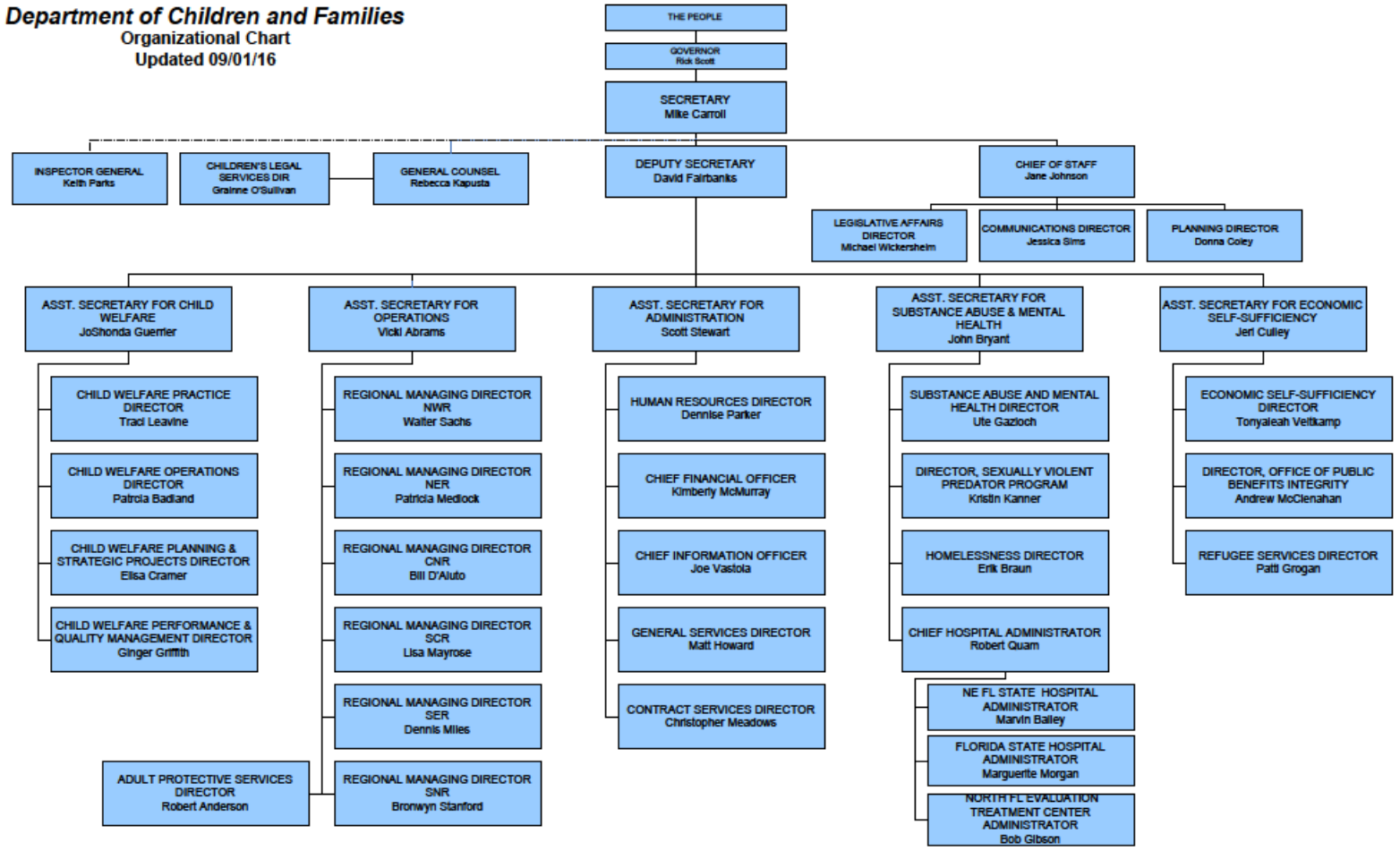


Exhibit II-1 DCF Organizational Chart

Within the ESS Program, several functional units provide direct or support services. Those areas of operation are presented in Exhibit II-2 ESS Functional Units.

ESS Program Functional Units	
Program/Unit	**Function**
Processing Centers	The centers process applications and renewals, over 92 percent of which are received electronically.
DCF Lobbies	DCF Customer Service Center Lobbies provide a variety of services to individuals seeking or receiving assistance. Customers can apply for assistance, or complete a paper application that can be mailed, faxed, or returned to a DCF Lobby.
Customer Call Centers (CCC)	The ESS Program maintains one CCC with locations in Jacksonville, Miami, and Tampa, yet through technology, they operate as one. Customer service representatives take customer calls on case status, policy, and general inquiries that cannot be handled through an automated response unit. In addition, agents accept information and process changes in eligibility.
Virtual Intake Units (VIU)	Customers requiring an eligibility interview are connected to VIU staff located in multiple regions. VIUs are used in several regions including Central, Northeast, Southeast, and Southern Regions.
Case Maintenance Units (CMU)	The CMUs process changes for the active caseload; however, due to the need for local coordination, CMUs are situated in the regions. Each month the CMUs handle over 500,000 data exchange alerts from state, federal, and private databases which provide information on changes that affect eligibility (i.e., receipt of new earned income). In addition, CMUs also do bill tracking for Medically Needy with Share of Cost, impose, and lift sanctions as requested by the Department of Economic Opportunity (DEO) CareerSource and Child Support Enforcement programs, and process requests for verification of Medicaid coverage. Additionally, CMUs are responsible for processing changes that come through the web which require customer contact.
Electronic Benefits Transfer (EBT)	Floridians obtain their SNAP or TANF benefits through a deposit each month on their EBT ACCESS Florida card. Cardholders then utilize the account to make purchases at retailers. Additionally, EBT provides behavioral EBT spending and investigative support to ACCESS Integrity, PAF, and United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) through reports, data warehousing, and nightly transmissions of data and system activity files.

ESS Program Functional Units	
Office of Public Benefits Integrity (PBI) / ACCESS Integrity Program (AIP) and Benefit Recovery (BR) Program	The Office of PBI is dedicated to preventing, detecting, and recovering waste, fraud, and abuse within the state's public benefit programs. The office develops program and policy changes designed to more effectively combat fraud and loss while increasing the recovery of improperly paid benefits. A key component of the office's work is electronic data sharing with other agencies. Investigators are assigned questionable cases prior to approval and as issues arise or are reported through the public assistance Fraud Reward Assessment Team (FRAT) or other means. In SFY 2015-2016, PBI conducted 23,656 fraud investigations resulting in the prevention of $31.2 million in benefits from being fraudulently disbursed. BR staff use creative and groundbreaking methods to evaluate and collect misspent funds. In SFY 2015-2016, BR established $43.5 million in overpayment/misspent claims, and recovered $22.1 million. Through an Interagency Agreement with the Florida Department of Financial Services (DFS)/Division Public Assistance Fraud (DPAF) Unit, fraud cases also referred to the State Attorney's Office (SAO) for prosecution.

Exhibit II-2 ESS Functional Units

In 2004, DCF began to modernize its approach to administering cash assistance, SNAP, and Medicaid Programs. This new business model drastically changed the way DCF staff processes applications and manages caseloads. It also improved the processes the Department uses to interact with customers.

In order to achieve this dramatic business model change, the Department conducted a complete review of applicable federal and state law. This review resulted in the elimination of outdated, labor-intensive policies and practices that were not required and added little or no value to the process or outcomes. For example, the face-to-face interview requirement was eliminated for Medicaid, and verification requirements were simplified with a greater reliance on electronic verifications. Additionally, Customer Call Centers were established to provide customers greater access to the Department to report changes in their household situation.

The initial Program Office efforts focused on streamlining workflows and simplifying policy with plans for enhanced technology at the foundation. Florida experienced a food assistance caseload increase of 169 percent since initiating the system completion effort in 2004, mainly because of economic factors' impact on families and individuals as the recession began to affect the caseload in April 2007. The Department realized the tremendous increase in workload without corresponding manpower, and therefore attempted to meet this expanding workload with the implementation of a variety of applications that increase efficiencies and support customer self-sufficiency using technology. Many of these new applications function independently of the others, and some interface with the mainframe. While essential in conducting the business of the Department, the business processes supported by this functionality are extensive and slow. Though incremental customer service improvements were made via the implementation of an Interactive Voice Response system (IVR), the fact that the IVR still forwards 7.8 million calls per year to its call center (18% of which go unanswered) demonstrates the significant gap remaining to adequately address customer needs through self-service and efficiency improvements.

Due to the passage of the Affordable Care Act (ACA) in March 2013, the Department launched the MES Project to modify the ACCESS System to support the minimum requirements of the federal act. The project included the addition of the following new system components:

- A business rules engine to determine eligibility for medical assistance programs
- An interface to the Federal Data Services Hub (FDSH)
- Real time interface with the CHIP agency, Florida healthy Kids, and a real time interface for providing verification of Minimum Essential Coverage (MEC)
- A web portal with a single streamlined application for insurance affordability programs (IAPs)
- Partial enhancements to the system architecture to support the additional functionality

This approach included a plan to implement the new system components in two releases. Release 1 of the solution, which was deployed on December 16, 2013, focused on the business rules for family-based medical assistance programs and system functionality required to support the state's implementation of the ACA by January 1, 2014. With this release, the ACCESS Florida System allowed Floridians to apply for all IAPs and enabled real-time eligibility determinations. Release 2, implemented in November 2014, incorporates the business rules for all other medical assistance programs. Furthermore, the MES was governed by a Steering Committee comprised of representatives from DCF, AHCA, DOH, and Florida Healthy Kids Corporation. The Steering Committee met monthly through Release 1, and at least quarterly for Release 2.

The current technology is still not efficient overall, and drives less than optimal effectiveness for operations and insufficient confidentiality and fraud controls. As a result, the business outcomes the Department must accomplish are diminished. There is a business need to infuse and leverage technology to achieve a higher state of operational efficiency as well as fraud, trafficking, and identity theft detection and prevention. The gains in operational efficiency and fraud prevention from the infusion of modern, modular, and maintainable technology will allow the Department to re-value current staffing levels to focus on improved outcomes and customer self-sufficiency.

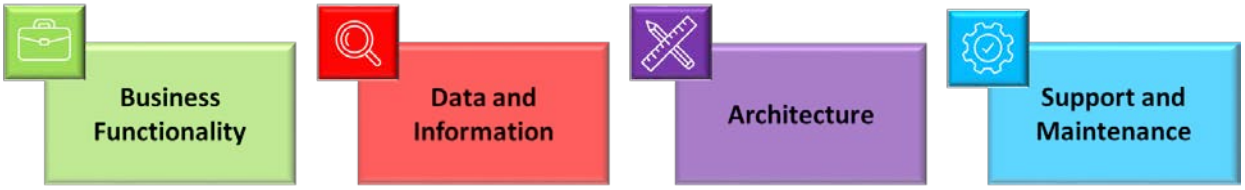
Furthermore, the Department must act now to achieve savings from the Office of Management and Budget (OMB) time-limited A-87 Cost Allocation Exception which allows state human service programs to improve their programs' impact and effectiveness with the help of technology at significantly lower cost through a 90/10 federal matching rate. Originally set to expire in December 2015, OMB has allowed a one-time extension for an additional three years through December 2018. Florida continues to receive far less federal grant dollars than other states, ranking last in in the nation in per capita federal grants[4].

Specifically, this opportunity will allow the Department to maintain the progress it has made, support optimal system integration, and more effectively improve family outcomes and customer self-sufficiency by addressing the following critical business needs:

- Create flexibility to improve customer service and ever-increasing expectations regarding service levels:
  - Caseloads have not declined as anticipated with an improving economy. Options such as real-time web services and enabling interactive mobile application and document upload would increase customer self-service.
- Improve privacy and confidentiality controls:
  - Federal mandates require states to establish and implement critical privacy and security standards as outlined in the *Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0*.
- Engage satisfactory and agile prevention and detection tools to reduce incidents of fraud, trafficking, and identity theft:
  - The ability to identify and prevent incidents of fraud, trafficking, and identity theft is severely limited due to a lack of data integration within and across multiple systems and programs. The system must be able to improve program integrity with enhanced data analytics in order to be fiscally responsible to taxpayers.
- Utilize cost allocation exception while it is still available:
  - The cost allocation exception for upgrading state systems to improve system functionality is currently set to expire in December 2018.
- Accommodate future legislative, regulatory, and policy changes in a swift and cost effective manner:
  - The current system architecture lacks the flexibility to cost effectively accommodate changes. The cost of small, mandated changes are currently astronomical.
- Maintain benchmarks by leveraging a modular approach for flexibility and innovation:
  - Increased worker efficiency will allow the Department to re-value staff to focus on more effectively moving the highest priority cases to self-sufficiency. Workers are faced with a patchwork of technology requiring multiple logins to a variety of system modules to obtain information to conduct their work. Additionally, the Department has been a leader in public assistance administrative and accuracy performance. With every year that passes, it becomes more of a challenge to maintain this status.

[4] Since 1996, Florida has never ranked higher than 43rd in per capita federal grants.
Florida TaxWatch, *Why Florida ranks last in the nation in federal grant funding*, 15 September 2016.

Through operational efficiencies and the migration to a consistent architectural platform, the Department will more effectively utilize valuable staff resources. These resources would then be re-valued to focus on increased customer service, moving customers more quickly toward self-sufficiency.



In the spring of 2014, the Department conducted two studies to assess its current and future business needs. The first study gathered ESS field business process owners statewide from the six Region Offices and three CCC locations to collaborate and identify operational efficiency opportunities. The second included business and technology subject matter experts at the ESS Program Office (PO) to develop a strategic plan for the future of the ACCESS Florida System. Through those studies, the Department identified numerous needs and grouped them in four critical categories: Business Functionality, Information and Data, Architecture, and Support and Maintenance. The following paragraphs provide an overview of the Department's needs in each of these categories

a. Business Functionality

The ESS Program has an immediate need to address issues related to business processes and tools that are used to meet the daily needs of Departmental staff and aid Floridians with their public assistance needs. As demonstrated in Exhibit II-3, the total number of assistance group eligibility determinations being processed in Florida is increasing despite no additional staff being allocated. In SFY 2015-2016, 16.7 million determinations represent a more than 40% increase in determinations from five-years prior (11.9 million in SFY 2010-2011). Improvements to the system resulting from the current MES Project increase efficiency and provide the ability for all applications to utilize a "No-Touch" process in which applications can be electronically filtered for information that would disqualify them for benefits. To date, No-Touch has reduced the processing time for Medicaid applications from 19.5 to 14.5 days. However, to address the continual demand, additional functionality is needed to improve upon this performance and expand the scale of applications and programs that can be determined accurately by the No-Touch process to provide customers immediate eligibility determinations. Built into the enhanced scale of No-Touch would be additional necessary real-time interfaces to ensure integrity. The Department can take advantage of technologies being implemented by the MES Project, which are capable of serving as a foundation to support transition of remaining system functions and, for the first time, serve as a foundational platform to support completion of remaining system components.

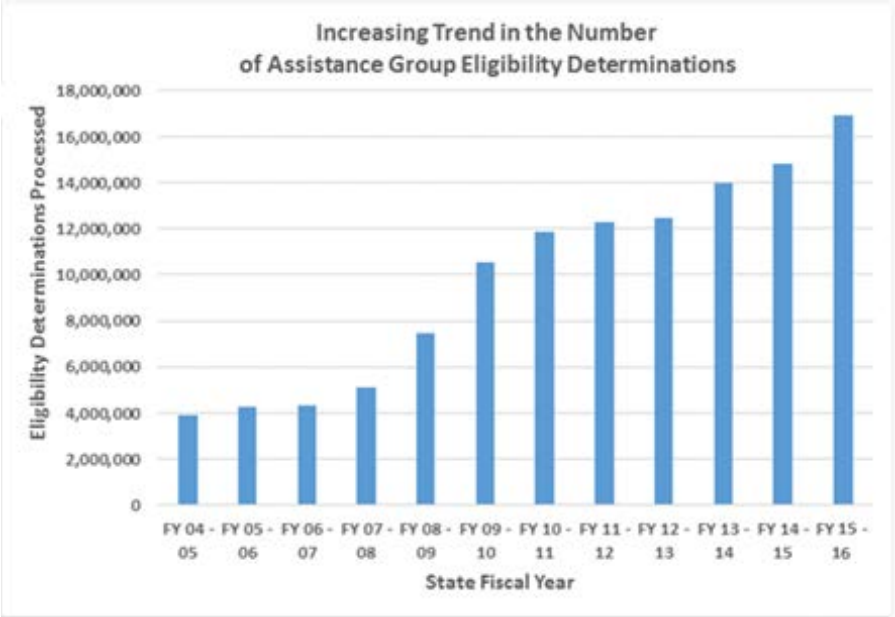


Exhibit II-3 Number of Assistance Group Eligibility Determinations Year Over Year

System complexity now makes the implementation of modifications a lengthy and expensive process. Federal and state policies continue to evolve resulting in the need for system changes, along with a demand for tighter controls and increased security from increases in fraud and identity theft. Delaying completion due to increased costs or implementation time constraints leaves the Department wide open to the risk of non-compliance, litigation, and increased fraud. These risks jeopardize bonus money received by the state from the federal government. For example, since 2007 the ESS Program has achieved national recognition and earned more than $62 million in federal bonus money for excellence in SNAP payment accuracy. Similarly, in 2013 Florida ranked first in the nation with a SNAP payment error rate less than 1% and received an accuracy bonus of over $7.74 million. Again, in 2015 the ESS Program received another $3.8 million in federal bonus money for performance. The unchanged workforce, along with maximum capacity system enhancements, has achieved a level of excellence unmatched in the nation, but is at risk of stagnancy due to system limitations. Should performance criteria change, the inflexibility and cost of the current system jeopardizes the Department's ability to introduce changes and maintain its benchmarks and national recognition.

The ESS Program's ability to respond quickly to the needs of its customers, staff, state partner agencies, and federal oversight agencies is of critical importance to the mission of the Department. There are near-term opportunities for innovation, customer self-service, and increased worker efficiency by leveraging improvements to the system and changes due to the recent upgrade of the Medicaid Eligibility System (MES Project). Upgrades to the system should increase the available work capacity for staff in a routine day enabling staff to redirect and reinvest additional capacity into stronger coordination with agency partners such as workforce programs, increase customer service, and increase efforts to eradicate fraud. These programs in turn empower Floridians to become more economically self-sufficient. Additional business functions, which could benefit from improved technology, include:

- Customer self-service functionality
- Security authentication for various roles in DCF
- Manual validation by DCF staff of data input by customer
- Necessity to view, or toggle between, multiple applications at one time
- A system meeting Federal Center for Medicaid and Medicare (CMS) conditions and standards for:
    - Modularity – use of a modular, flexible approach including the use of open interfaces
    - MITA standards – aligned and ready for advancement in the Medicaid Information Technology Architecture
    - Industry compliance – alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards
    - Compliance with the Minimum Acceptable Risk Standards for Exchanges (MARS-E)
    - Leverage – promotes sharing, leverage, and reuse
    - Business results – supports accurate and timely processing of eligibility with the public
    - Reporting – has the capability to produce reports supporting program evaluation, continuous improvement in business operations, and transparency and accountability
    - Interoperability – supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions

b. Information and Data

In 2013, DCF rolled out groundbreaking public assistance fraud fighting initiatives, making Florida the first in the nation to implement aggressive front-end fraud prevention technology to ensure benefits only go to Floridians who are in need. Yet the number of potential cases identified as potential fraud outpaces the workload capacity of staff who are forced to prioritize cases and address as many as possible within their time constraints. Currently, the Department estimates it is only able to pursue 50% of fraud cases. If staff were able to spend less time performing other non-automated and time-consuming manual tasks, and more time utilizing automated and agile data analysis tools, they would be able to allocate more energy to preventing fraud, trafficking, and identity theft at the front end by addressing all potential fraud cases, resulting in improved integrity and greater cost avoidance.

Manual processes are persistent throughout the ACCESS Florida System. While system improvements have alleviated some of the manual burden, due to the outdated technology, several persist. This leaves workers more susceptible to engaging in inefficient tasks. Automation of system components and processes should be prioritized to continue benefit accuracy and increase efficiency.

The ESS Program collects data in various areas to determine if the program is meeting predetermined performance measures; however, the staff are lacking tools to assess current performance through customer and process trends over time. Informed strategic decisions could be made through the enhanced ability of executive leadership to look at trends and patterns to predict possible future outcomes or address changing needs. The inability to assess and fully utilize data compromises program integrity and inhibits DCF's knowledge and ability to enact a higher state of vision for the Department regarding customer and program behavior, therefore negatively impacting management capabilities.

c. Architecture

A system that is technically stable and provides interoperability between partners, and the architectural flexibility to adapt to the Department's evolving needs is of utmost importance.

Today, DCF maintains a system consisting of 26 supporting applications and over 110 interfaces operating on multiple architectural platforms. This inherently puts the system at risk and results in extra work for state and contracted staff, further increasing costs. Furthermore, the mainframe is built with a hierarchal database that is outdated, difficult, and costly to update. There are significant issues in trying to keep the existing mainframe system synchronized with other software applications due to the inflexibility and cost of the mainframe architecture. Other states have moved to relational databases that have proven much more agile, easier to adapt to changing rules and needs, and less expensive to change or maintain. For example, the State of Ohio implemented a COTS-based solution to replace their legacy eligibility and case management system. The solution they implemented was architected using a Service-Oriented Architecture (SOA) designed to provide flexibility to add, integrate with, or replace solution components with best-of-breed products in conjunction with the core eligibility and case management system. The solution was implemented to operate on a virtual server infrastructure allowing the solution to run on commodity servers without the need for the legacy mainframe, and to provide data center hosting flexibility.

In addition, the Department's customers increasingly demand convenient access to DCF services from smartphones and other devices that are easily accessible and affordable. A 2015 report from the Pew Research Center revealed 92% of citizens own a mobile phone, and 68% of which are smartphones[5]. In addition, an estimated 20 million individuals nationwide received a free cellular telephone based on receipt of public assistance benefits. While there is no lack of opportunity when it comes to mobile technology, a significant investment is required to bring current applications and portals, and take advantage of potential cloud services and technologies to support mobility.

Other Florida agencies have also completed the reengineering of their legacy mainframe systems. DOR moved off the mainframe with CAMS effectively increasing DCF legacy platform costs, and in November 2014 when the Department of Health completed the migration of WIC from the ACCESS Florida mainframe, DCF legacy mainframe costs also increased. FSFN is currently transitioning off the mainframe as well. A gap is widening between DCF and the technology platforms of other agencies.

d. Support and Maintenance

In order to effectively "keep the lights on," the Department incurs annually increasing costs to support the aging mainframe and software components. Costs such as hosting services at Agency for State Technology (AST), which total more than $14 million annually, would be significantly reduced through reengineering and standardizing the technical architecture. DCF incurs immense expense in trying to update ACCESS Florida to comply with policy changes and increasing customer needs as well as in regular maintenance. Last year, the Department spent $3 million to attempt to enhance current tools just to comply with federal and state mandates. Also, the federal MARS-E 2.0 security and privacy control framework has been effective as of September 2015 – the Department must take action to achieve compliance by August 2017 which has a price tag of $5.5 million.

Additionally, the current system also contains applications which utilize third-party software that are no longer supported. As a result, DCF is unable to perform upgrades, and the resulting temporary workarounds have become permanently cemented, making needed upgrades very costly.

[5] Smartphone data are based on a Pew Research Center survey conducted June 10-July 12, 2015. Anderson, Monica. *Technology Device Ownership: 2015*. Pew Research Center. 2015 October 29.

2. Business Objectives

NOTE: For IT projects with total cost in excess of $10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

The following section describes business objectives which are consistent with the Department's existing policies per s. 216.023(4) (a) 10, F.S. The overarching business objective of the ACCESS System Completion is to strive towards the Department's stated vision and core competencies. The elements discussed in Exhibit II-4 DCF Vision and Core Competencies below guide the actions of DCF everyday work activities. The Core Competencies help the Department in assessing the current state and building a strategic approach for the future of the ACCESS System.

DCF VISION STATEMENT:

"We are a highly skilled workforce committed to empowering people with complex and varied needs to achieve the best outcomes for themselves and their families. In collaboration with community stakeholders, we will deliver world class and continuously improving service focused on providing the people we serve with the level and quality that we would demand and expect for our own families."

Systems Integration:
The Department oversees diverse and multi-faceted systems of care that must be designed, managed and continuously improved. We must be experts in the systematic integration and coordination of services to optimize available resources and drive the best possible outcomes for each person we serve.

Vendor Relationship Management:
The services for which we are responsible are delivered through a complex network of vendors and community partners. It is critical that we ensure vendors and community partners share in our mission and vision – it is not enough for them to simply deliver services. They must uphold our values and maintain a commitment to world class service and outcomes. We must balance partnership with accountability.

Data Analytics:
Everything we do must be outcome-based and solution-focused. We must analyze data and information in multidimensional ways to gain deep understanding of system issues and challenges. We use analytic data to drive daily actions; inform strategic, operational, and financial decision-making; and improve outcomes.

World Class Workforce:
Because we have a sacred mission to protect the vulnerable with the same passion we have for our own families, we must have a committed and competent workforce. Our workforce is truly our most valuable asset. We are committed to recruiting, developing, and retaining a world class workforce to support this organization now and into the future.

Exhibit II-4 DCF Vision and Core Competencies

The ACCESS System Completion is in line with the Department's strategic direction, driven by the state's policy and budget priorities based upon legislative mandate and the governor's priorities. The following section outlines the main business objectives of the proposed project, and provides an overview of how the objectives directly relate to DCF's goals and the measures utilized to track the success of current and future performance. Project scope, governance structure, and estimated timeframes are discussed in future sections.

a. Departmental Goals and Objectives

Pursuant to Chapter 216 of the Florida Statutes, the Department has documented its goals and strategic objectives in a Long-Range Program Plan (LRPP). Specific business objectives and outcomes were defined and aligned with the goals for public assistance services and the ESS Program Office. DCF's goals are depicted in the following Exhibit II-5.

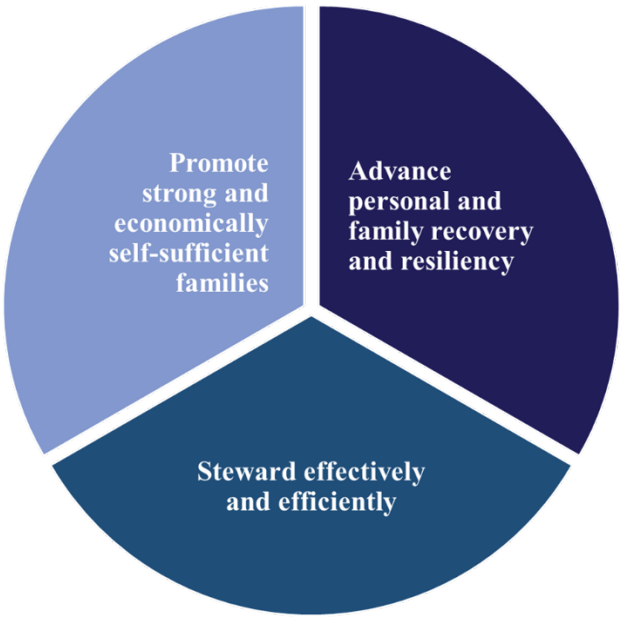


Exhibit II-5 DCF LRPP Goals

Beyond priorities established by requirements provided in federal regulations and state law, the ESS program also prioritizes actions based on Department goals. The business objective of the ACCESS System Completion is to directly affect and further the Department's mission, vision, and goals. The Department's goals are directly promoted by the system completion with both tangible and intangible benefits expected. These benefits are outlined in Section IV of this document. A brief outline of each goal, along with how the objectives sought in the system completion would influence the Department's success in achieving its goals, are listed below.

Goal 1: Promote strong and economically self-sufficient families

Key objectives of this goal, as determined by DCF, include: providing basic resources and services to those in need; connecting those we serve to employment and educational opportunities; supporting the disadvantaged living in their own homes in the community.

The ACCESS System Completion will help Floridians move from *entitlement to empowerment*. In support of this Departmental goal and with the system changes, the Department will:

- Provide mobile and self-service capabilities to applicants and recipients.
- Reduce opportunities for fraud and abuse by improved privacy and confidentiality controls, enhanced technology, data sharing, and data analytics to improve capability for identifying fraud, trafficking, and identity theft *prior* to disposition.
- Provide access to comprehensive data for complete and accurate trend analysis and statistical reporting, using a data warehouse.
- Consolidate systems to support easy access to information.
- Implement a system that speeds decision-making and maximizes automation.

Goal 2: Advance personal and family recovery and resiliency

Key objectives of this goal, as determined by DCF, include: maximizing normalcy for our customers; increasing overall functioning of those with mental health disabilities; reducing substance abuse; ensuring housing for those with mental health disabilities.

The ACCESS System Completion will seek partnerships that promote local programs designed to strengthen families. In support of this Departmental goal and with the system changes, the Department will:

- Make it easier for partners to navigate, enabling them to help customers provide all necessary information, thus speeding eligibility decisions and accuracy as well as other assistance.
- Be accessible in community partner locations.

- Allow for additional DCF personnel hours to be allocated to coordination with workforce programs.
- Maintain a master client index which will improve the enterprise system of care by removing the silo approach to helping customers.
- Enhance ability to interface with welfare to work and child support enforcement programs, linking customers to these critical services.
- Make it easier for applicants and recipients to navigate and understand the system, enabling them to provide all information needed, and speeding eligibility decisions and accuracy.

Goal 3: Steward effectively and efficiently

Key objectives of this goal, as determined by DCF, include: partnering with local individuals, businesses, and providers to maximize results for our customers; continuing to develop, reward and recognize staff by providing the support and tools employees need to deliver world-class services to Floridians; leveraging technology to support services and operations; minimizing overhead costs.

The ACCESS System Completion will apply proven best practices and employ state-of-the-art technology to maximize efficiencies and outcomes. In support of this Departmental goal, and with the system changes, the Department will:

- Implement a system that continues to fully comply with state and federal laws and regulations, and be able to adapt to changing policy landscapes quickly with less expense.
- Improve internal and external security via MARS-E 2.0 compliance.
- Fully maximize the proposed enhanced federal matching funds.
- Standardize and maximize business process and tools to achieve efficiencies and leverage capacity to keep pace with the persistent caseload.
- Empower front-line staff by providing immediate access to data to support decision-making processes.
- Provide report customization capabilities.
- Provide automated data population and cascading of data between input screens to improve productivity and benefit accuracy.
- Implement a system that efficiently interfaces with federal databases and partner agencies to obtain and share data needed to determine eligibility and verify need, and reduce attempted fraud.
- Provide simultaneous access to data among various users.
- Implement a case management system to store data on applicants, recipients, and benefits, including data needed for federal reports.
- Automate the resource assignments and re-assignments for required work based on the process flow.
- Prioritize alerts to bring important items to the worker's attention.
- Allow staff to monitor their assigned work to manage their time efficiently.
- Allow management to monitor the assignments of workers under their supervision.
- Eliminate duplicative data entry between disparate systems or within the same system.
- Support staff training to meet desired skill levels.

b. Performance Measures

The Department uses a robust set of measures to assess the level of performance of its business processes specific to public assistance. These measures are included in Exhibit II-6 Approved FY 2015-2016 Economic Self-Sufficiency Performance Measures, with detailed information on each measure for the ACCESS program included in Appendix A. The measures below evolve over time and continue to become more rigorous to ensure that customers experience an ever-increasing level of service; however, additional strains are placed upon the system and Department staff through the updating and refinement process. Measures used to determine the effectiveness of the proposed project can be found in Section III: Success Criteria.

ESS Performance Measures		
Number	**Program**	**Performance Measure**
ES103	ESS	Percent of refugee assistance cases accurately closed at 8 months or less
ES104	ESS	Number of refugee cases closed

ESS Performance Measures		
Number	**Program**	**Performance Measure**
ES105	ESS	Percent of all applications for assistance processed within time standards
ES106	ESS	Total number of applications processed
ES107	ESS	Percent of food stamp benefits determined accurately
ES108	ESS	Percent of cash assistance benefits determined accurately
ES110	ESS	Percent of suspected fraud cases referred that result in front-end fraud prevention savings
ES111	ESS	Dollars collected through BR
ES112	ESS	Number of fraud prevention investigations completed
ES114	ESS	Percent of OSS applications processed within time standards
ES115	ESS	Number of applications processed for OSS payments
ES119	ESS	Number of cash assistance participants referred to the Regional Workforce Development Boards
ES219	ESS	Percentage of food assistance applications processed within 30 days
ES223	ESS	Percent of welfare transition sanctions referred by the regional work force boards executed within 10 days
ES305	ESS	Number of cash assistance applications
ES362	ESS	Number of refugee cases
ES369	ESS	Return on investment from fraud prevention / benefit recovery
ES678	ESS	Percent of 2-Parent TANF customers participating in work or work related activities (2-Parent TANF Participation Rate)
ES733	ESS	Percentage of food assistance applications processed within 7 days (expedited)
ES4040	ESS	Percent of unemployed active caseload placed in employment
ES5087	ESS	Percent receiving a diversion payment / service that remain off cash assistance for 12 months
ES5088	ESS	Percent of All Family TANF customers participating in work or work-related activities
ES5089	ESS	Percent of work able food stamp customers participating in work or work-related activities
ES5136	ESS	Percent of applications completed by use of automation.

Exhibit II-6 Approved FY 2015-2016 Economic Self-Sufficiency Performance Measures

B. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process(es)

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

To begin the process of determining eligibility for cash, food, or medical assistance, Floridians in need will apply for benefits via several alternatives offered by DCF. The following Exhibit II-7 Customer Application Process provides a high-level overview of the application process through the Department experienced by applicants/recipients applying for assistance. The diagram is intended to provide a snapshot of the beginning of the eligibility determination process and demonstrate systems that are utilized by DCF and workers to determine eligibility.

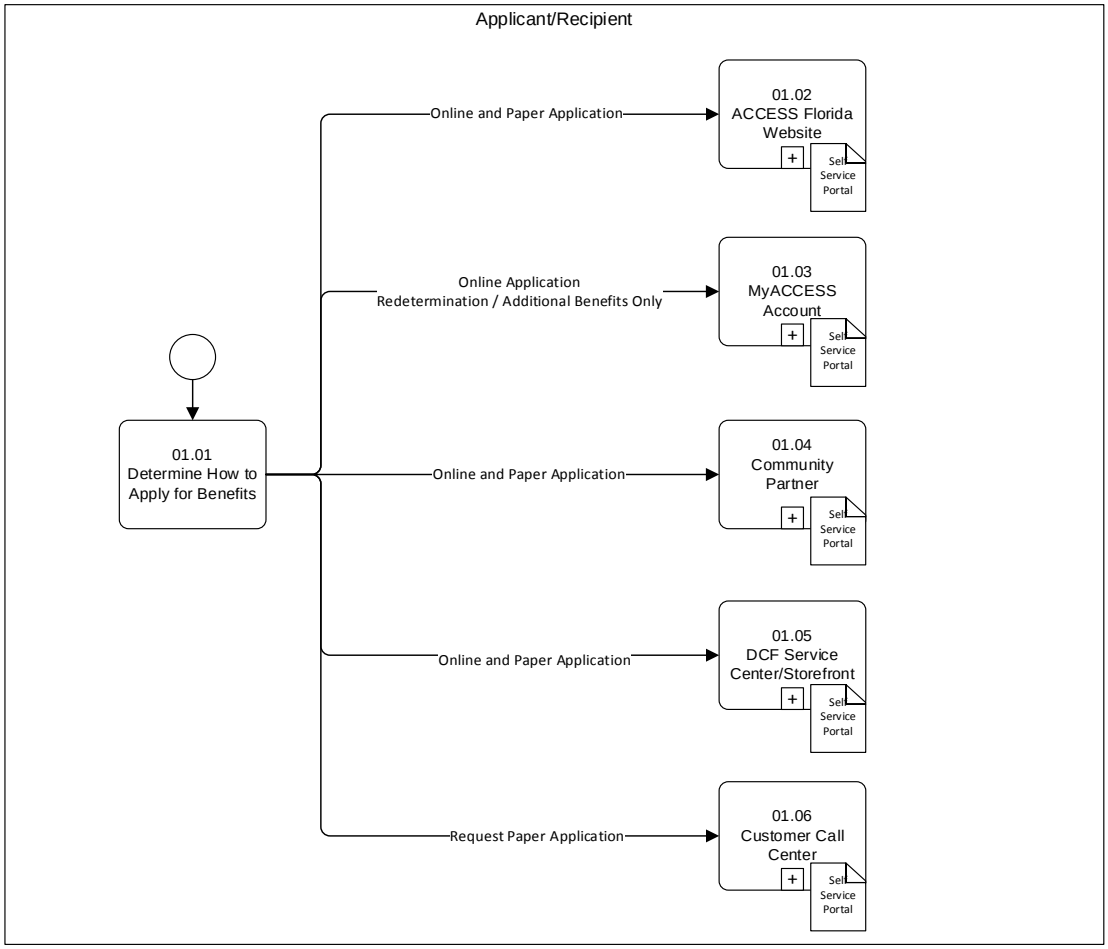


Exhibit II-7 Customer Application Process

The following table describes the columns in the process narrative exhibit that follows:

Index	Activity reference number
Actor	Role of individual(s) with primary responsibility for activity
Activity Label	Short description for activity used in work flow diagram
Activity Description	Full description for activity used in workflow diagram

Exhibit II-8 Customer Application Process Narrative describes, in further detail, the work of each activity by role. Please note that there are sub-processes not discussed in detail that take place within the steps.

Customer Application Process Narrative			
Index	**Actor**	**Activity Label**	**Activity Description**
01.01	Applicant/Recipient	Determine How to Apply for Benefits	The applicant/recipient determines how to apply for food, cash, and/or medical assistance. The options available to the applicant/recipient include the ACCESS Florida website, MyACCESS Account, Community Partners, DCF Service Centers/Storefronts, and the CCC.
01.02	Applicant/Recipient	MyACCESS Account Self Service Portal – Apply for Benefits	On the ACCESS Florida website, a new or returning applicant/recipient may access and complete an online application, or the applicant/recipient may download a paper application to complete.
01.03	Applicant/Recipient	MyACCESS Account Self Service Portal	The applicant/recipient may access and complete a pre-populated online application only for redetermination or additional benefits through their MyACCESS Account.
01.04	Applicant/Recipient	Community Partner	The applicant/recipient may access and complete an online application onsite using available Community Partner computer workstations, or the applicant/recipient may request a paper application from a Community Partner.
01.05	Applicant/Recipient	DCF Lobby/Service Center/Storefront	The applicant/recipient may access and complete an online application onsite using available DCF computer workstations, or the applicant/recipient may request a paper application from a DCF Service Center/Storefront.
01.06	Applicant/Recipient	CCC	The applicant/recipient may contact the DCF CCC to request a paper application sent to their address or apply for his/her MAGI determination by phone.

Exhibit II-8 Customer Application Process Narrative

Once submission of an application occurs, a number of processes take place within the Department, some involving multiple external and internal stakeholders. The following list contains an overview of current business processes taking place within the ACCESS program service delivery model, along with additional activities that support these business processes.

Eligibility Processing:

- **Application/Redetermination Processing:** Staff use a combination of the "ACCESS Summary" a copy of the customer's web application, AMS, the FLORIDA Systems, SAVE, DAVE, SOLQ, ACCESS Document Imaging, ESS On-lines, CISS, NAC, eDRS, PARIS, Vital Statistics database to determine program eligibility and benefit level**.**
- **Account Transfers and Interfaces:** The module is designed to allow DCF to exchange information with Federal, State, and third party agencies via real-time web services and file transfer protocol (FTP) batch

processes. In addition to the existing batch interfaces, DCF has developed/configured a number of real-time verification services as part of ACA implementation. The verification services include FDSH for verification services, State Wage Information Collection Agency (SWICA) to verify state income, AHCA to receive minimum essential coverage (MEC) enrollment data and initiate medical service delivery, Florida Safe Families Network to verify children within or aged out of foster care, Florida Healthy Kids or Federally Facilitated Marketplace for applications from individuals not determined eligible for Medicaid, Children's Medical Services Network (CMSN) for the determination of clinical eligibility based on applicant/customer input, Florida Department of Health, and Federal Services Data Hub.

Customer Call Center:

- **Customer Call Center:** Call Centers are one of a customer's primary point of contact with ESS staff. Call Center staff provide program information, receive and process reported changes and provide customers with information on their cases. There are several additional tools available to customers with case information without the need to speak with a call agent. The IVR, an automated telephonic triaging tool, is critical to managing customer contacts by providing customers with both general and case level information. This often eliminates the need to speak to an agent. The MyACCESS Account and online case management tool provides customers the ability to obtain information on the status of their application, check for appointments and outstanding documents, report changes, and see copies of notices.

Case Maintenance Units:

- **Case Maintenance:** Case Maintenance staff use the ACCESS Florida System to review, evaluate, and process data exchanges received from a variety of federal and state partners and to determine ongoing eligibility for benefits. They process bills received from providers, such as hospitals and pharmacies for customers on share of cost Medicaid. Case Maintenance staff also completes expected changes such as adding newborns, or removing children who have aged out. They too must access several systems to determine the customer's eligibility. Additionally, Case Maintenance staff process web changes.

DCF Lobbies:

- **Customer Service Centers/Storefronts:** Customers are provided the opportunity to self-serve in these centers or storefronts. They can apply for benefits or access their accounts, scan documents to the mail scan center, copy documents, or speak to a representative. Lobbies are generally staffed with clerical staff with professional staff oversight.
- **DCF Lobbies:** Customers can utilize the self-service area at any local ACCESS Service Center location statewide in which they can apply for benefits, register for My Account, and check the status of their case. Self-Sufficiency Representatives are available to assist customers in resolving their issues.
- **Community Partner Management:** Staff engages and works with over 3,100 organizations, state agencies, and local governments that provide alternative, community-based lobbies for those in need of ACCESS services to apply for and receive assistance. Activities include verifying information and recommending customers for services.

Virtual Intake Units (VIU):

- **VIU**: VIU staff located in all six regions answer and conduct incoming eligibility interview calls routed from Interactive Voice Response Unit, and generate pending letters when necessary. VIU staff use multiple systems including FLORIDA, ACCESS Summary, and DAVE to assist them in obtaining the most accurate information during the interview.

Supporting Activities:

- **Appeals:** The Office of Appeal Hearings is an impartial arbiter that, upon request, will evaluate the merits of a customer complaint and issue a binding decision on the Department's action.
- **Self-Service Portal:** Customers use the Self Service Portal MyACCESS Account to submit their request for assistance or changes online. The application or change is routed to intake and processing staff based on zip code and the type of assistance requested.
- **Benefit Issuance:** Food and cash assistance benefits are issued electronically via the EBT System. Medicaid services are provide via a Medicaid Gold Card issued by AHCA using eligibility data received by

the ACCESS Florida System in the Agency's Florida Medicaid Management Information System (FMMIS).

- **Benefit Integrity:** The ACCESS Integrity Program is responsible for the detection and prevention of public assistance fraud. PBI staff provides oversight for fraudulent activities in the public assistance programs by investigating cases prior to approval and monitoring active cases to ensure the proper receipt of benefits. Working in tandem with ESS eligibility staff, PBI scrutinizes areas in which the Department is vulnerable to fraud (internal or external) and establishes overpayments for collection, as well as provides solutions to minimize the Departmental exposure. They work with PAF to identify and prosecute individuals receiving benefits fraudulently and are responsible for recovering benefits paid in error.
- **Data Archiving:** The IMS database management system is limited to a dataset size 4GB. A database for individuals in the system has grown larger over the years. The normal database-partitioning scheme has been outgrown and required the applications group to develop and implement a data archiving process. In this process, data segments associated with an individual that meet a certain set of criteria are offloaded into an archive database. If an online transaction needs to call up data segments that have been archived, a message is returned to the worker onscreen and instructs the worker to request the individual's data segments to be restored from archive. The restore process then makes the data segments recopied back under the individual's online database record overnight. This process is run by batch on a regular basis.
- **Document Imaging:** The Department went paperless in 2007. The Document Imaging System is the tool used by staff to collect, index and file documents required for eligibility determinations.
- **Notices**: The notice module of the ACCESS Florida system generates notices to customers providing information on action taken by the Department regarding their eligibility. Clients can opt to receive them electronically via their MyACCESS Account, whereby providing rapid information to the customer, and savings to the Department via a reduction in printing, postage, and mailing costs.
- **Quality Management (QM):** Staff review casework to ensure the accuracy of staff processing and decisions, then work with regional staff to identify and errors and correct actions for continual program performance improvement.

Within each of the aforementioned business processes there are varying degrees of performance, operations, and/or fiscal issues that present requirements that must be addressed by DCF. Exhibit II-9 Current Business Process Issues and Category Mapping identifies these areas for each process as well as aligns the processes with the four categories outlined within Section II.A.1.

Current Business Process	Specific performance, operational and/or fiscal issues that need to be addressed	Impacts:			
Interfaces	1. Volume of data exchange hits; workers are not able to take action on this huge volume. 2. Eliminate redundant data exchanges (For example: once a social security number (SSN) has been verified, and there is no demographic change, there is no need to check for SSN again). 3. Some information is automatically updated within a case; however, more of this is required for efficiency and accuracy. 4. Integrated real time data exchanges as part of case process will potision the department in a proactive position instead of a reactive approach.	✓	✓	✓	
Appeals	1. Workflow automation at the Division of Public Assistence Fraud, Prosecution, and DCF. DCF needs to get the Disqualification Consent Agreement (DCA) form signed at the time the client pleads and negotiates with State Attorney's Office (Prosecution or SAO). In some instances, DCF only receives "adjusted adjudication withheld" form. This prevents DCF from disqualifying the client from receiving benefits, which the client supposedly agreed to during the plea and negotiations.	✓	✓		
Self-Service Portal	1. Insufficient communication from the system regarding what documents have been received and what is missing results in customer calls to the CCC. 2. Clients submit duplicate verification documents through the document imaging system.	✓	✓	✓	
Application/ Redetermination Processing	1. Staff must access and view verification documentation in a separate Document Imaging application and enter data from the verification documents into the appropriate fields of the FLORIDA screens. The staff typically has to write the information down depending on if the information is pay stubs, assets related information, multiple birth certificated/identification, or multiple pieces of information related to the case and different AG members. 2. Staff must manually set the system to send courtesy notifications to alert the staff when information is received for the case in Document Imaging application. 3. Interview Clerks perform tasks which can be automated or streamlined. Depending on the decision path, actvities include: Checking if an applying client is known to the FLORIDA system; Registering a client and updating AMS; Creating the case on the FLORIDA system; Determining if an interview is required; Assigning the case to a worker for application processing; Determining if the household is eligible for expedited Food Assistance benefits; Generating and sending interview notices.	✓	✓	✓	
Benefit Integrity	1. Need to implement a holistic, simplified, automated approach to fraud reduction; the department needs to see increases in fraud detection and correspondingly in values of cases referred to Administrative Hearings (ADH) and SAO. 2. DCF needs to receive any modification to the summary of benefits and overpayment amount for the case from DPAF so that the recovery can be pursued accurately.	✓	✓	✓	
Benefit Issuance	1. The EBT vendor currently does not validate requests for address at same level of scrutiny as the ACCESS Program does, causing potential fraudulent cases to go unnoticed.	✓	✓		
Customer Call Center	1. The CCC's IVR does not have the ability to provide real-time data to clients. Because of a 24 hour lag, these calls are forwarded by the IVR to CCC agents.	✓	✓		
Case Maintenance	1. Data exchanges received are not all automatically processed. Worker intervention is needed and data could be accumulating over the years that a case has been open if workers have generally not been clearing them.	✓	✓		
Community Partner Management	1. An email facility for Regions, Circuits management, staff, and Community Partner Liaisons for their frequent broadcast to CPs in their region or circuit. 2. The roster of Community Partners needs to be maintained in an integrated system to have the capability to dynamically select or deselect partners for broadcast purposes. 3. There is no integrated email capability, so Community Partner Liaisons (CPLs) maintain their own Community Partners Email group on their email system. Deletions, additions, or status changes done on the current CP database does not get reflected on the CPLs' individual email lists.	✓	✓	✓	✓
Data Archiving	1. Data has been stored since beginning of the FLORIDA system. 2. There is a need to create a comprehensive archive/purge strategy for all systems.		✓	✓	✓
Document Imaging	1. See Issues described in the writeup for MyAccount Enhancements - OSE initiative. 2. Do not request clients to submit duplicate permanent record documents (if one is already available in the document imaging system).	✓	✓		
Notices	1. Staff are required to manually generate notices for applications and reviews that require additional information to verify eligibility criteria.	✓		✓	
Quality Management	1. There is a need to provide the ability to maintain staff performance evaluation information and include staff-related statistics or information currently obtained only through data reports. 2. In annual performance reviews, performance evaluators have to manually review reports and look for information pertinent to the staff member being evaluated. 3. Currently QMS is an independent system, data is transferred between systems (AMS to QMS); may need to be integrated in to one system to gain efficiencies.	✓	✓		

= Buiness Functionailty = Information and Data = Architecture = Support & Maintenance

Exhibit II-9 Current Business Process Issues and Category Mapping

a. Stakeholders

Each process affects individuals and entities inside and outside of DCF in unique ways. It is important to identify these stakeholders to determine a baseline impact on the organization and connected entities. The Project Management Institute (PMI) defines a stakeholder as "anyone who may be positively or negatively impacted by the project." Exhibit II-10 below lists the project's stakeholders that have been identified to date, as well as a summarization of how each will be affected by, or will participate in, the ACCESS System Completion.

Business Process Stakeholder Groups	
Stakeholder	**How affected and/or how group will participate**
Florida Department of Children and Families (DCF)	DCF operates multiple programs using the services of the ACCESS Florida System. For example, Office of Child Welfare, Family Safety / Child Protective Services use the current system to facilitate child-in-care and Relative Caregiver eligibility determinations. In addition, ACCESS eligibility services employ over 4,400 individuals who use the system on a daily basis. Internal stakeholders include: • Executive Leadership • ESS Programs • Legislative Affairs • Office of Appeal Hearings • ACCESS Community Partner Liaisons (CPLs) • Office of Child Welfare (OCW) • Substance Abuse and Mental Health (SAMH) • Homelessness • Child Protective Investigators (CPIs) • Refugee Assistance • Adult Protective Investigators • Helpdesk • Information Technology Services • State Hospitals • DCF Training • DCF Communications
DCF Office of Public Benefits Integrity (PBI)	PBI is responsible for combating fraud before, during, and after the eligibility process. The ACCESS Integrity Section uses data from the current system to pinpoint patterns of abuse and fraud. ACCESS Integrity also acts on referrals from eligibility workers and tips from the public. The Benefit Recovery Section establishes claims for overpayments of public assistance benefits and collects on those claims.
Public Assistance Applicants and/or Recipients	Any individual who uses ACCESS services to apply for benefits or who currently receives benefits.
General Public	A general body of people within the Florida community. The general public can access information regarding Department services, including ACCESS services, via the Department's internet site.
Florida Agency for Health Care Administration (AHCA)	AHCA, as the State Medicaid Agency, receives Medicaid eligibility information from the current system through an interface with the FMMIS.

Business Process Stakeholder Groups	
Stakeholder	**How affected and/or how group will participate**
Florida Department of Health (DOH)	DOH, as the state agency responsible for disability determinations, provides information in the public assistance eligibility cases where disability is a factor. The ACCESS Florida system is affected by subject matter experts within DOH from the following areas: • Presumptive Eligibility for Pregnant Women • Children's Medical Services • Inspector General • WIC • Division of Disability Determinations
Florida Department of Financial Services (DFS) - Division of Public Assistance Fraud (DPAF)	DPAF safeguards the public and businesses in Florida against acts of public assistance fraud have by enforcing federal and state criminal laws in relation to customer eligibility and misuse of public assistance. The division investigates cases of benefit overpayments where fraud is thought to have occurred, and works with the Attorney General's Office and Florida State Attorney Offices to prosecute those cases with evidence indicates criminal intent.
Florida Department of Revenue (DOR)	DOR manages the State's Child Support Enforcement Program. Child support is a determining factor in the public assistance eligibility process.
Florida Department of Economic Opportunity (DEO)	The DEO provides mandatory work activities and employment programs for select groups of food and cash assistance recipients. The DEO also functions as a community partner in the ACCESS network; providing both self-serve and full service ACCESS eligibility services at its CareerSource centers. DEO is also the purveyor of unemployment compensation data through its System for Unified Taxation (SUNTAX) system. DCF uses this data for verification purposes in its eligibility process.
Florida Healthy Kids Corporation (FHKC)	FHKC administers the Title XXI portion of the Children's Health Insurance Plan (CHIP). FHKC exchanges information on CHIP applicants to ensure that children who are not eligible for Title XXI CHIP are reviewed for Medicaid eligibility by DCF.
Florida Department of Corrections (DOC)	DOC operates in partnership with DCF to automatically close any SNAP or TANF benefit when a person enters the DOC to ensure benefits do not continue to an institutionalized person. The data provided also prevents incarcerated individual identities from being fraudulently used to apply for assistance.

Business Process Stakeholder Groups	
Stakeholder	**How affected and/or how group will participate**
Other State Agencies	Other agencies within the State of Florida that interact and/or are affected by the ACCESS program include: • Florida Department of Elder Affairs (DOEA) • Florida Agency for Persons with Disabilities (APD) • Florida Department of Law Enforcement (FDLE) • Florida Office of the Attorney General (OAG) • Florida Public Service Commission (PSC) • Florida Office of Early Learning (OEL) • Florida Department of Agriculture and Consumer Services (DACS) • Florida Department of Education (DOE) • Florida Lottery • Florida Department of Highway Safety and Motor Vehicles (DHSMV) • Clerk of Courts • Auditor General
Agency for State Technology (AST)	AST's data center provides utility computing services to the Department. The center maintains a 24x7x365, Tier II data center operation with redundant power, back-up generators, redundant network connections, and managed services for ACCESS Florida, along with providing offsite disaster recovery services for the system.
Community Partner Network (CPN)	The over 3,100 organizations and local governments that provide alternative, community-based sites for those in need of ACCESS services to apply for and receive assistance. A sampling of partners that use the system and perform a variety of functions are: • Regional Workforce Development Boards • Community Based Care (CBC) Agencies • CPIs • Food Banks • Medicaid Providers
Contracted Services	Third party vendors contract for various ACCESS related services. Examples of service contractors include: • Notice provider • Asset verification provider • Identity verification provider • EBT service provider • System Integrator • Benefit recovery collections • Electronic application providers
Other States	Other states share data via interstate data matching services to identify customers receiving public assistance in multiple states in order to prevent fraudulent duplicate participation. Examples of data exchanges include: • National Accuracy Clearinghouse (NAC) • Public Assistance Reporting Information System (PARIS)

Business Process Stakeholder Groups	
Stakeholder	**How affected and/or how group will participate**
Florida Legislature	The governing body responsible for enacting laws. The Legislature has exclusive authority to determine statute and adopt the budget for state government activities.
Executive Office of the Governor (EOG)	As a part of the overall governance team, the EOG communicates with the House and the Senate as well as creates a recommended budget and signs the budget voted on by the legislature.
United States Department of Agriculture (USDA) - Food and Nutrition Services (FNS), USDA Office of Inspector General	The federal grantor agency responsible for administering the SNAP Program.
United States Department of Health and Human Services (HHS) – Center for Medicaid and Medicare (CMS), HHS Administration for Children and Families (ACF)	The federal agency responsible for administering the TANF Program through ACF, and the Medicaid Program through CMS.
Other Federal Agencies	Other Federal Agencies have an impact on the ACCESS Florida System and provide a source of data used in determinations. They include: • Social Security Administration (SSA) • Internal Revenue Service (IRS) • Department of Defense (DoD) • Department of Treasury • Department of Justice (DOJ) • Department of Homeland Security (DHS) • Department of Labor (DOL) • Office of Child Support Enforcement (OCSE)

Exhibit II-10 Business Process Stakeholder Groups

b. Services Supported

The Department repeatedly earns accolades in recognition of the efficient and effective administration of the ESS Program, and the federal government has praised the State as being one of the most accurate in the nation. Historically as a national leader in program accuracy, service, and ingenuity the Program Office continually seeks innovative and efficient ways in which to serve Florida's most vulnerable populations while aligning with modern technology to maintain benchmarks.

The primary assistance categories and the detailed functioning components that assist customers in need are outlined in the narrative of Exhibit II-11 ESS Service Area Descriptions below.

ESS Services	
Category	**Description/Programs**
Medical Assistance	Provides medical coverage to low-income individuals and families who meet the technical, income and asset requirements of the program. The Department determines Medicaid eligibility, and AHCA administers Medicaid services.
Food Assistance	SNAP supplements low-income individuals and families who meet the technical and income requirements of the program to buy the food they need for good health. The SUNCAP Program is a special food assistance program for individuals who receive Supplemental Security Income (SSI). The Food for Florida (FFF) program offers emergency food benefits to victims of hurricanes or other types of disasters.
Cash Assistance	TANF provides cash assistance to families with children under the age of 18 or under the age of 19 if full time secondary school students, who meet the technical, income, and asset requirements. The program helps families become self-supporting by assisting in the payment of rent, utilities, and other household expenses through the temporary cash assistance grant while allowing children to remain in their own homes. It also provides cash help to nonrelative/relative caregivers who have custody of a non-related/relative child placed with them by the courts as an alternative to foster care. Additionally, Optional State Supplementation (OSS) provides payments to supplement the income of indigent elderly or disabled individuals who reside in community-based alternative living environments.
Refugee Assistance	The Refugee Assistance Program (RAP) provides financial and medical benefits, coordinates, and oversees many of the services provided to refugees and entrants in Florida to help them become economically self-sufficient. Refugee Services assists newly-arrived eligible customers in obtaining employment, learning English, acquiring job skills, and overcoming legal or medical difficulties.

Exhibit II-11 ESS Service Area Descriptions

2. Assumptions and Constraints

a. Assumptions

The following assumptions are statements about the project or its environment that are taken to be true and, accordingly, are factored into DCF's plans and analysis for the proposed project.

- DCF desires to increase process effectiveness, reduce manual steps that rely on the use of ad-hoc tools and processes.
- Any gains in operational efficiency that the Department realizes through these efforts will be used to allocate additional resources to value-added activities, including managing the persistently sustained caseload, reducing the occurrence of fraudulent claims, and improving customer service levels.
- A suitable architecture model exists to facilitate rapid and scalable deployment of the technical and functional initiatives outlined in the proposed solution.
- DCF will employ the Organizational Change Management (OCM) activities required to implement the recommended solution in the most successful fashion.
- The project team will be adequately staffed to accomplish the project's deliverables, milestones, and infrastructure, manage user involvement, ensure proper testing, produce necessary project planning documents, project status reporting and complete other project management tasks.
- The system will invest in building data interfaces with other agencies/departments rather than re-create the storage of duplicate data.
- Data migration from multiple legacy systems will be required.
- Labor rates for contracted staff are assumed to be in accordance with the IT consulting State Term Contract

for staff augmentation and comparable to similar projects recently undertaken by other Florida State Agencies.

b. Constraints

Constraints are identified factors that will limit the project management team's options, and affect the progress or success of the proposed project.

- Project funding is appropriated annually and may be subject to periodic releases throughout the year; depending upon suitable schedule and cost performance.
- Approval by either the EOG (in consultation with the Legislature) or the Legislative Budget Commission (LBC) may be required before any appropriated funds are made available to the Department.
- All schedules depend on the continual availability of appropriated funds.
- Information requests from external oversight agencies and partners can be time consuming to produce and can affect the project's timeline.
- State and/or federal statutory changes, changes in administrative rules, and DCF policy changes could affect the project.
- The software tools supporting desired capabilities will be determined based on the solution proposed by the system integration vendor.
- The technical solution may be contingent on the outcome of the ongoing DCF ACCESS Cloud Assessment to be completed December 2016 (See Appendix F).
- MARS-E 2.0 security and privacy control framework has been effective as of September 2015, and mandated full compliance must be achieved by August 2017.
- Stakeholder involvement with and understanding of the project will be time-consuming.

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

In order to meet the ever-increasing needs of its customers, front line workers, and state and federal partner agencies, the Department must continue to invest in the ACCESS System with new technology and tools that keep current with other agency partners and their systems to effectively connect, provide improved business functionality, prevent fraud and abuse, and address the issue of the system's core aging infrastructure and its related complexity.

As described in Section II.A.1 Business Need, the Department recently conducted two studies that systematically evaluated the needs of the ESS Program and the ACCESS System as well as identified and prioritized solutions for each of the areas of opportunity. This effort included a broad array of stakeholders including regional staff and CCC's other impacted agencies, and system stakeholders. As a result of those studies, the Department is proposing alternatives that strive to implement the high priority system initiatives. These system initiatives are shown below in Exhibit II-12 Proposed System Initiatives, and grouped by the four pre-determined categories.

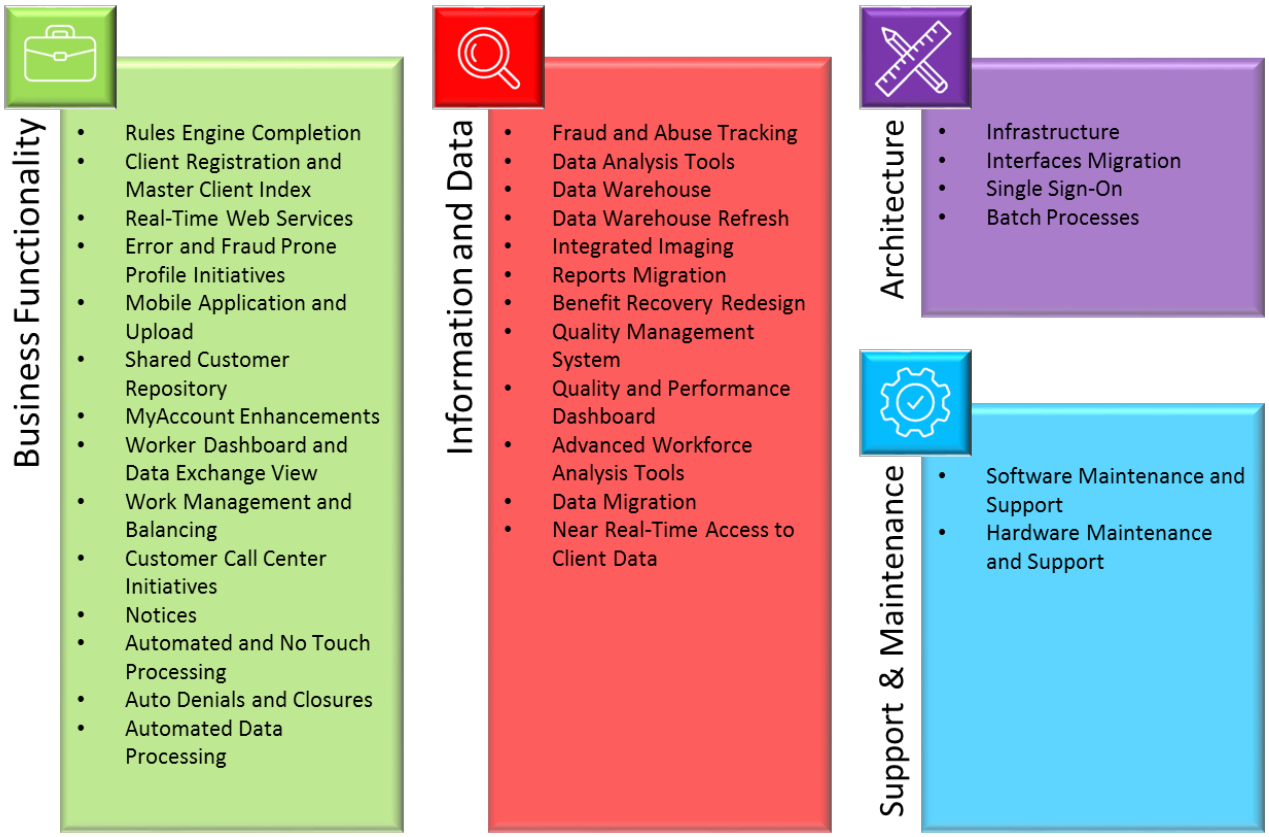


Exhibit II-12 Proposed System Initiatives

1. Proposed Business Process Requirements

The following sections provide an overview of the business processes requirements the system initiatives would support. These high-level requirements are a starting point for a more detailed requirements gathering and elaboration which will be conducted during the Definition Phase of the proposed project.

a. Business Functionality

The proposed initiatives included in this area involve the addition or improvement of system functionality across a number of business areas and related business functions and processes that are critical to the administration of Florida's ESS program and service delivery. This is including but not limited to intake, eligibility verification and determination, customer communications and relationship management, work management, and fraud and abuse prevention. The business requirements that these 14 business functionality system initiatives would support are described below.

1. ***Rules Engine Completion***: The proposed system initiative will migrate the eligibility rules for food and cash assistance programs from Florida to the ACCESS Florida System business rules engine so that all ESS program eligibility rules will reside in and leverage the business rules engine that was implemented with the MES Project. The solution will also migrate Eligibility Determination and Benefit Issuance system functionality into a new worker portal application to support those business processes. The rules engine will also score incoming applications using a set of proven error and fraud prone profiles so that high risk applications can be assigned to specialized investigative skilled staff.
2. ***Client Registration and Master Client Index:*** The proposed system initiative will consolidate and strengthen the front end client registration and clearance process on an enterprise level, whereby reducing fraud, into one application to streamline the intake function and improve worker application processing productivity. The Master Client Index will create a shared customer repository (refer to Shared Customer Repository).

3. ***Real-time and near real-time Web Services:*** The proposed system initiative will provide workers with instant and automated access to customer verification data tracked by external agencies to increase worker productivity, improve application processing accuracy and timeliness, prevent identity theft and fraud, and speed customer access to services and benefits. Web services would be established with a variety of partners, internal and third party.

4. ***Error and Fraud-Prone Profile Initiatives***: The proposed system initiative will automatically prescreen and review applications, renewals, and changes prior to benefit authorization based on factors likely to result in error and/or fraud. Per Florida Statute 414.095(15), the Department must create an error-prone or fraud-prone case profile and screen each application for against the profile to identify cases that have a potential for error or fraud. The fraud-prone profile will identify and flag cases that require further review or additional investigation without worker intervention before the application, renewal, or change can be fully processed. The error-prone profile would identify and flag cases that are characteristic of common worker errors so that they can be more carefully reviewed before disposition, resulting in greater accuracy.

5. ***Mobile Application and Upload*:** The proposed system initiative will enable the system to provide enhanced self-service options from MyAccount on a mobile platform. Future solutions enabled by this effort will enable customers to complete an application, capture, upload and index verification documentation, and access the status of their account using a mobile device, such as a smartphone or tablet. This initiative will also allow for future enterprise-wide incorporation of benefits from the managed care plan portal with AHCA and EBT services.

6. ***Shared Customer Repository***: The proposed system initiative will create a master client record that centralizes and consolidates customer information across multiple programs administered by the Department, including food assistance, cash assistance, medical assistance, child welfare, substance abuse and mental health, and other agency programs, to reduce the potential for duplication of benefits, reduce fraud to improve program integrity, and provide the worker with a unified view of the customer to better assess their holistic needs. The shared customer repository will incorporate the most current data from all matched systems and correct data inconsistencies and duplications. The solution would also provide the ability for the Department to further leverage this functionality in the future with data stored in external partner systems.

7. ***MyAccount Enhancements***: The proposed system initiative will provide increased customer self-service options, including allowing customers to perform page-by-page indexing of documents by individual and document type, preview submitted documents, view the processing status of each submitted document, and receive direct communication from the worker and/or engage in real-time chat on pending verifications and what specific information is needed from the customer to complete processing, maximizing the use of electronic notifications. In addition, this initiative will allow customers to request an EBT card or enroll in a Medicaid managed care plan without agency assistance, facilitate access to customers' Managed Care accounts, and include enhanced customer security via multi-factor authentication allowing Florida to continue its status as a leader in security initiatives surrounding fraud prevention and increase its current ACCESS Integrity cost avoidance and savings.

8. ***Worker Dashboard and Data Exchange (DE) View:*** The proposed Worker Dashboard system initiative will provide workers with a single summarized view of work items that they are responsible for in order to intelligently track, display, and prioritize work items based on business needs. *Currently, workers must sign into approximately 15 screens to complete assignments*. Work items to be included are assignments, work in progress, appointments, incoming images, and data exchanges and alerts. The Worker Dashboard will also enable supervisors and administrators to access and monitor the same information for their respective areas of responsibility at the worker, unit, or administration level. The proposed Data Exchange View system initiative would automate searches third party systems to verify applicant citizenship status, income, assets, and other relevant information, and it would consolidate the results into one screen that can be easily accessed during application processing and during claim determination to recover overpaid benefits due to error or fraud.

9. ***Work Management and Balancing:*** The proposed system initiative will automate the balancing and distribution of workload across the State based on pre-defined criteria, including work levels, without requiring supervisor or administrator intervention. This functionality would dynamically throttle and configure the routing of incoming work items to administrative units and balance the load across regions and circuits so that statewide capacity is fully utilized, resources are optimized and virtual, and output is maximized, even and especially in the event of a disaster.
10. ***Customer Call Center Initiatives***: The proposed system initiative will provide customers with additional channels of communication with workers in the Department's CCC and virtual intake units, including chat and texting.
11. ***Notices:*** The proposed system initiative will allow *detailed* notices to customers and simplify the process of creating and modifying customer notices which will dramatically reduce the associated costs through the implementation of configurable, on demand notices. This initiative will also maximize the use of electronic notifications.
12. ***Automated and No Touch Processing:*** The proposed system initiative will enhance and secure automated and no touch processing in order to maintain benefit accuracy and integrity, improve application processing productivity, and keep historic records for on demand reporting.
13. ***Auto Denials and Closures:*** The proposed system initiative will automatically deny or close based on predefined criteria without requiring worker intervention in order to enhance benefit accuracy and integrity, and workload associated with performing these case actions.
14. ***Automated Data Processing:*** The proposed system initiative will consolidate and streamline the data entry process for new applications, renewals, and changes to improve worker productivity via automatic data population and identification of conflicting existing customer data.

b. Information and Data

Like all health and human services enterprises, rapid access to high quality data is critical to the integrity and efficient and effective operation of the Department's business model. As such, the Department requires a modern approach to data management so that the information needed for business processes and reporting is both available and accurate and provides internal and external stakeholders with accurate and consistent data. The proposed initiatives included in this area involve the integration of data that is currently maintained in separate applications and databases and the creation of performance dashboards. The business requirements that these 12 information and data system initiatives will support are described below.

1. ***Fraud and Abuse Tracking:*** The proposed system initiative will support the ACCESS Integrity and Benefit Recovery program workflows encompassing the entire lifecycle of fraud and abuse referrals, including identifying fraud-prone profiles, and training applications to subject matter experts to identify and stop fraud before benefits are approved. It would enable case management functions, through the comprehensive identification, capture, tracking, and monitoring of complaints, referrals, investigations, claims, and disposition/outcomes, and the automated generation of alerts when action is needed. The solution will provide workers with the information needed to more efficiently process referrals, including access to multi-state data matches, to accelerate decision-making to prevent fraud and issuance of benefits, and to establish the foundation for future data analysis. It also would enable the Department to retire the current ACCESS Online System and reduce associated operations and maintenance costs.
2. ***Data Analysis Tools:*** The proposed system initiative will provide functionality to analyze current and historical program and customer data to identify trends and underlying factors related to fraud, waste and abuse, child welfare and other agency programs, and employment and training opportunities. The solution will provide the tools to enable the Department to search, understand, and triage data, detect potential fraud and misuse of benefits, and improve decision making for workers, supervisors, administrators, and management in an improved manner.

3. ***Data Warehouse:*** The proposed system initiative will create a centralized repository for current and historical data for data analytics and reports used by workers, supervisors, administrators and program and executive management to manage workload and monitor performance. The warehouse will ensure data is calculated consistently and accurately.

4. ***Data Warehouse Refresh:*** The proposed system initiative will filter and archive previous data no longer needed by the system and users, and establish a data retrieval process for future use. This process frees up capacity to maintain the highest level of production.

5. ***Integrated Imaging:*** The proposed system initiative will streamline the Department's Mail and Scan operations and business processes by automating the indexing of documents submitted by customers with state-of-the-art encoding technology, smart forms, and automating the routing of customer documents to workers through predefined workflow criteria. The imaging solution will be integrated with the worker portal to provide staff with seamless access to customer documents directly through the Worker Dashboard and other worker portal screens.

6. ***Reports Migration:*** The proposed system initiative will enable workers to generate all ESS program reports from one application to allow the Department to migrate and retire the legacy ESS Online system to the new Business Objects reporting platform.

7. ***Benefit Recovery Redesign:*** The proposed system initiative will support the Department's compliance with federal guidelines and benefit recovery business processes within the worker portal to provide enhanced visibility to data exchanges and alerts, and improve workflow management, enabling the Department to retire the currently fragile Benefit Recovery System, reduce operations and maintenance costs, increase productivity, and reduce the Benefit Recovery backlog. In the past few years, the Benefit Recovery program has undergone a 40% reduction in staff, business process redesign, and changes in federal policies, yet the system has not kept up with these changes. Manual "workarounds" have become a permanent part of BR processes, limiting the type of productivity increases needed to address the workload. Large portions of Benefit Recovery functionality were retained in the FLORIDA system, requiring repeated reconciliations, manual processes, and alerts to notify IT when the interface between FLORIDA and IBRS fails.

8. ***Quality Management System:***

    - ***Quality Assurance:*** The proposed system initiative will integrate and support the ESS program's quality management (QM) within the new worker portal, including the ability to generate random samples of cases for review, read case records, identify error-prone areas, and compile QM data and results.

    - ***Quality Control:*** The proposed system initiative will enhance automation of federally mandated quality control (QC) business processes, including auto-population of review findings.

9. ***Quality and Performance Dashboard:*** The proposed system initiative will provide an overview of the ESS program's performance, quality rating, and an organizational score card to enable the Department to better manage, monitor, and optimize critical business processes and activities using metrics of business performance that support data driven decision making. The solution would also trigger alerts when a problem arises and provide tools to analyze the root cause of the problem by exploring relevant and timely information from multiple perspectives and at various levels of detail.

10. ***Advanced Workforce Analysis Tools:*** The proposed system initiative will provide easier access to work force data and an advanced set of data analysis tools and metrics that allows for comprehensive workforce performance measurement and productivity improvements. The solution would support decision-making around planning and forecasting for employment needs and labor cost avoidance, including overtime costs, and enable the identification of inefficiencies that can be addressed through staff training and process improvements.

11. ***Data Migration:*** The proposed system initiative will include data cleanup activities conducted jointly with DCF and appropriate vendor staff, and migration of ESS program data and processing from all databases including the hierarchical IMS database to improve data access and reduce operations and maintenance costs.

12. ***Real to Near Real-time Access to Client Data:*** The proposed system initiative will provide workers and customers with real or near real-time access to customer data via the worker portal and MyAccount. This functionality would replace the nightly Florida Operational Data Store (FLODS) batch extract containing day-old account information that customers and workers currently receive and rely on to ensure more timely and accurate eligibility determination.

c. Architecture

Over time, a multitude of sub-systems and applications have been added on to the legacy system to support the Department's evolving business needs. As a result, the ACCESS Florida System has become overly complex and increasingly inflexible. The proposed initiatives included in this area involve replacement and consolidation of servers and a new system infrastructure to better align with and support the Department's business processes today and well into the future. The business requirements that these four architecture system initiatives will support are described below.

1. ***Infrastructure Upgrade:*** The proposed system initiative will establish a consolidated, scalable on demand, modern platform that provides the solid base and flexibility needed to mitigate maintenance and operation costs associated with the legacy mainframe environment, support increased caseloads, facilitate the implementation of future operational efficiencies, allow a more rapid response to future state and federal program and policy mandates and the constantly involving fraud characteristics, build stronger relationships with customers, and enable quicker access to services and improved outcomes.
2. ***Interfaces Migration:*** The proposed system initiative will eliminate the need for data used by the ESS program's eligibility verification and case maintenance business processes to be transferred between multiple systems by migrating these interfaces to the new system platform. Interfaces that would be migrated include, but are not limited to, the Florida Department of Law Enforcement, Florida Department of Revenue, Florida Department of Corrections, United States Department of Agriculture Food and Nutrition Service, U.S. Internal Revenue Service, U.S. Department of Defense, Center for Medicare and Medicaid, Administration for Children and Families, Florida Lottery, Florida Department of Financial Services, Florida Agency for Health Care Administration, and Electronic Benefits Transfer.
3. ***Single Sign-On:*** The proposed system initiative will streamline work flow by providing workers with role-based access to multiple ACCESS System applications and sub-systems by entering one username and password, eliminating the current need for multiple separate system log-ins that result in continual interruptions throughout the day.
4. ***Batch Processes:*** The proposed system initiative will migrate batch processes from the legacy mainframe to the new system platform.

d. Support and Maintenance

The proposed initiatives included in this area involve the activities that are required for the operation and maintenance of the ACCESS System, including but not limited to operating the system, monitoring system performance, fixing defects, testing changes to the system, and performing software maintenance and upgrades. The business requirements that these two support and maintenance system initiatives will support are described below.

1. ***Software Maintenance/Support*:** The proposed system initiative will provide the Department with the ability to better manage ongoing software maintenance and support costs.
2. ***Hardware Maintenance/Support*:** The proposed system initiative will provide the Department with the ability to better manage ongoing hardware maintenance and support costs.

2. Business Solution Alternatives

To address increasing market demands, aging technologies, increasing fraud, and changing policy requirements, the Department assessed and scored two alternatives for ACCESS System Completion:

- **Alternative 1** – ACCESS System Completion through a strategic update of remaining legacy system function and infrastructure that would replace the high priority system initiatives over a three-year period.
- **Alternative 2** – ACCESS System Completion through a strategic update of remaining legacy system function and infrastructure that would replace the high priority system initiatives over a five-year period.

Both alternatives seek to *implement all priority initiatives*, resulting in the completion of the systems and architecture reengineering of ACCESS, including *full migration off the FLORIDA mainframe* so that the resulting application meets the Department's business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less r to maintain. The alternatives build on and extend the modern architecture introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today while maximizing technical and business process benefits, and providing the flexibility and scalability needed for the future.

Each alternative is aligned with the Department's goals and objectives; yet, they vary in risks, tradeoffs, benefits, and drawbacks. The following section will provide a comprehensive analysis and comparison of each option.

a. Alternative 1 – Three Year System Completion

The first option proposes implementing the initiatives of the system completion over a three-year span requiring significant investments over the 36-month timeline. This alternative would allow for the ACCESS System Completion and require significant changes in the most expedited manner of any alternative. This option relies on the Department's ability to secure funding for three fiscal years and implement a complex set of system upgrades. It is assumed that an outside project management and change management vendor(s) will have to be secured for this work. Additionally, due to the risk criteria associated with the project, it is assumed that CMS will require verification and validation from an independent vendor.

Alternative 1 results in a complete upgrade of the remaining systems and architecture that comprise the ACCESS system including completion of the mainframe FLORIDA system. The resulting application will meet the Department's business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less costly to maintain. It will also build on and extend the modern architecture introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today. It maximizes technical and business process benefits and provides the flexibility and scalability needed for the future.

In year 1, the MES framework will be used to integrate Worker Dashboard with the existing worker portal legacy system, in order to prioritize work and increase worker productivity. A new potential self-service option, Mobile Application and Upload, will be enabled to allow customers to complete an application using a smartphone. Real-time web services will be implemented along with a data warehouse construction and imaging for documents. Further fraud and abuse tracking will be added to the system to continue safeguarding state dollars by preventing and curbing misuse by criminals. In addition, infrastructure will be upgraded to support the new worker portal system. Additional architectural improvements will include bringing AMS application servers into the latest supporting software environment on Vblock hardware.

In year 2, a significant number of changes will be made building upon the first year of implementations. Client registration and Master Client Index functionality will be introduced that today exists in multiple detached ACCESS systems (AMS and FLORIDA) and a shared customer repository will be developed to increase the efficiency of client registration and the accuracy of search results based on the latest data from across DCF systems (ACCESS, FSFN and SAMH). Notices will be re-keyed to allow for more flexibility with the worker and directed information. Automated data processing functionality from the MES framework will replace two modules in existing systems – AMS-AE and the FLORIDA mainframe, and existing rules from the Mainframe will be migrated to the BRE (Business Rules Engine) on the MES architecture. A Quality and Performance Dashboard, which will provide an overview of the ESS program's performance for the Department to manage work in a better manner, will be created. Interfaces migration will be started and a single sign on architecture will be completed.

In year 3, Automated and No-Touch Processing will be enhanced. Data migration and refresh will take place to target information that has been on the system since the original implementation. System changes will be made to

allow for real-time access to customer data via the worker portal and MyAccount. Additionally, tools for analyzing data trends over time will be placed into production to aid workers and support executive-level decision-making and forecasting efficiency. The interfaces migration will be completed along with batch processes and another infrastructure upgrade to support system changes.

Exhibit II-13 Alternative 1 Timeline is representative of the scope of this alternative as well as a timeline and high-level implementation plan for a system completion over three-years. A key characteristic of this alternative is that all initiatives are included in the upgrade.

Exhibit II-13 Alternative 1 Timeline

Advantages and disadvantages for this alternative include:

Key Findings – Alternative 1	
Advantages	**Disadvantages**
• Realizes benefits for customers and DCF staff quickly due to rapid development timeline • Addresses the initiatives for maximum benefit to customers, DCF, and the State • Fully realizes technical and data architecture goals • Fully maximizes the proposed enhanced federal matching funds whereby significantly reducing cost to the State from General Revenue • Highest Net Present Value of any alternative • Allows the Department to catch up to and keep pace with the changing public assistance environment and remain a leader in the nation	• Carries increased implementation risk due to the narrow timeframe and size/complexity of the project • Will expose Departmental staff to significant organizational changes over three-years

b. Alternative 2 – Five Year System Completion

The second option proposes implementing the initiatives of the system completion over a five-year span requiring a higher and significant investment over the 60-month timeline. This alternative would allow for the ACCESS System Completion and require significant changes over a longer timeline. This option relies on the Department's ability to secure substantial funding for five fiscal years and implement a complex set of system upgrades. Outside project management and change management vendor(s) will have to be secured for this work. Additionally, due to the risk criteria associated with the project, it is assumed that CMS will require verification and validation from an independent vendor.

Alternative 2 results in a complete upgrade of the remaining systems and architecture that comprise the ACCESS system, including replacement of the mainframe FLORIDA system. The resulting application will meet the Department's business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less costly to maintain. It will also build on and extend the modern architecture introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today. It maximizes technical and business process benefits and provides the flexibility and scalability needed for the future.

In year 1, the MES framework will be used to integrate Worker Dashboard with the existing worker portal legacy system, in order to prioritize work and increase worker productivity. A new potential self-service option, Mobile Application and Upload, will be enabled for future use, allowing customers to complete an application using a smartphone. Real-time web services will be implemented along with a data warehouse construction and imaging for documents. Fraud and abuse tracking is added to the system to continue preserving state dollars by curbing misuse by criminals. In addition, infrastructure will be upgraded to support the new worker portal system. Additional architectural improvements will include bringing AMS application servers into the latest supporting software environment on Vblock hardware.

In year 2, a significant number of changes will be made building upon the first year of implementations. Client registration and Master Client Index functionality will be introduced that today exists in multiple detached ACCESS systems (AMS and Florida) and a shared customer repository will be developed to increase the efficiency of client registration and the accuracy of search results based on the latest data from across DCF systems (ACCESS, FSFN and SAMH). Automated data processing functionality from the MES framework will replace two modules in existing systems – AMS-AE and the FLORIDA mainframe. Automation of features that will screen applications, renewals, and changes prior to benefit authorization based on factors likely to generate errors will be developed and placed into production. Notices will be re-keyed to allow for more flexibility with the worker and directed information. Interfaces migration will be started in addition to continued infrastructure upgrades to support the changes and current system.

In year 3, data migration and other large data architecture related initiatives will take place to target information that has been on the system since the original implementation and allow for more economical ways in which to deal with

future data storage. Auto denials and closures that seek to improve worker productivity and minimize workarounds will be added. The interfaces migration will complete along with batch processes and another infrastructure upgrade to support changes. A single sign-on architecture will be completed.

In year 4, existing rules from the Mainframe along with rules for Error and Fraud Prone Profile application triage will be migrated to the BRE (Business Rules Engine) on the MES architecture. Tools for analyzing data trends over time will be placed into production to aid workers and executives in decision-making and efficiency. Data migration and changes to batch processes will continue.

Finally, in year 5, Automated and No-Touch Processing will be added along with Customer Call Center enhancements. Initiatives that span years will come to a close and final infrastructure upgrade will be made. Typical support and maintenance operations will continue.

Exhibit II-14 Alternative 2 Timeline below provides a pictorial representation of the scope of this alternative as well as a timeline and high-level implementation plan for a system completion over five-years.

Year 1	Year 2	Year 3
SFY 2017 - 2018	SFY 2018 - 2019	SFY 2019 - 2020
Mobile Application and Upload	Client Registration and Master Client Index	Auto Denials and Closures
Real-Time Web Services	Automated Data Processing	Shared Customer Repository
Worker Dashboard and DE View	Notices	Work Management and Balancing
Data Warehouse	MyAccount Enhancements	Benefit Recovery Redesign
Integrated Imaging	Auto Denials and Closures	Quality and Performance Dashboard
Fraud and Abuse Tracking	Shared Customer Repository	Advanced Workforce Analysis Tools
Infrastructure	Work Management and Balancing	Batch Processes
Estimated Code Changes	Reports Migration	Infrastructure
Additional O&M Support	Quality Management System	Single Sign-On Framework
	Interfaces Migration	Estimated Code Changes
	Infrastructure	Additional O&M Support
	Estimated Code Changes	
	Additional O&M Support	

Year 4	Year 5	Initiatives Not Addressed
SFY 2020 - 2021	SFY 2021 - 2022	
Rules Engine Completion	Automated and No Touch Processing	None
Error and Fraud Prone Profiles	Customer Call Center Enhancements	
Data Migration	Data Migration	
Data Analysis Tools	Near Real-Time Access to Client Data	
Interface Migration	Data Warehouse Refresh	
Batch Processes	Batch Processes	
Interfaces Migration	Infrastructure	
Single Sign-On Update	Estimated Code Changes	
Infrastructure	Additional O&M Support	
Estimated Code Changes		
Additional O&M Support		

Exhibit II-14 Alternative 2 Timeline

Advantages and disadvantages for this alternative include:

Key Findings – Alternative 2	
Advantages	**Disadvantages**
• Addresses the initiatives for maximum benefit to the customers, DCF, and the state • Fully realizes technical and data architecture goals • Allows additionally flexibility due to expanded timeline for implementation to adapt architecture to environmental and policy changes	• Partially leverages the proposed enhanced federal matching funds requiring more state funding through General Revenue • Requires maintaining two concurrent systems for multiple years • Negative financial values (IRR, ROI, etc.) over seven years • High risk profile for the state due to the size and complexity of the changes • Will expose Departmental staff to significant organizational changes over a longer timeline

3. Rationale for Selection

This section describes the analysis of alternative approaches considered for ACCESS System Completion. The two options previously discussed (three year system completion and five year system completion) were evaluated based on a defined and rigorous set of criteria. The scoring process and justification for each criterion can be found in the following section. For additional detail, please refer to scoring rationale in Appendix B.

To conduct the alternatives analysis the following steps were performed:

1. Identified and defined a list of potential alternative system completion methods
2. Developed high-level requirements that the system upgrade should be capable of addressing
3. Established a set of uniform evaluation criteria against which each alternative was measured
4. Evaluated each of the alternatives through the application of the evaluation criteria
5. Determined the best alternative for the Department based upon results

Establishing a minimum set of capabilities is critical in order to ensure all alternatives are compared to a common standard. Seven evaluation criteria based on key goals for success in achieving business objectives were used to evaluate the options; Exhibit II-15 outlines the evaluation criteria used to determine the “best business solution alternative” for the ACCESS System completion. Additionally, each of the seven criteria was weighted for overall strategic importance to the potential project and the Department.

No.	Evaluation Criteria	Definition	Weighting
1	Alignment with Goals	The extent to which the solution is aligned with the Department's strategic vision and overall business goals and objectives.	20%
2	Customer Value	The value the outcomes of the solution will bring to the Department's customers.	10%
3	Risk Mitigation	The risk that the Department would be exposed to as a result of implementing the solution (probability, impact, etc.).	15%
4	Technical Architecture	The extent to which the technical architecture of the solution supports the current and future needs of the Department.	10%
5	Business Alignment	How well the solution supports current and future business processes.	20%
6	Data Architecture	How well the solution adheres to accepted data storage and exchange protocols, provides significant protections for sensitive information, and allows for future growth.	5%
7	Financial	The financial benefits that the solution can bring to the State of Florida.	20%

Exhibit II-15 Evaluation Criteria Definitions and Weighting

Each of the evaluation criteria are scored based upon specific factors that would contribute to the success and benefit realization of the ACCESS System Completion. Descriptions for the factors can be found in Exhibit II-16 Evaluation Criteria Description.

No.	Evaluation Criteria	Factors
1	Alignment with Goals	• **Stewardship** - The solution will enable the Department to effect program integrity and improvements by applying proven best practices to maximize efficiencies and outcomes. • **Protect Vulnerable** - The solution will aid the Department in protecting the vulnerable people served by providing quality of life assistance while securing their identity and confidentiality. • **Family Recovery** - The solution will enable family accountability by helping Floridians move from entitlement to empowerment. • **Communities** - The solution will enable the Department to engage communities by seeking partnerships that promote local programs designed to strengthen families. • **Self-Sufficiency** - The solution will provide the tools, resources, services, and processes that further promote self-sufficiency for customers in today's world. • **Frontline Staff** - The solution will enable the Department to empower frontline staff by providing the support and tools employees need to deliver world-class service to Floridians; and allow the department to direct and manage those resources more cost effectively. • **Adaptability** - The solution will enable the Department to adapt to and implement the ever-changing emerging trends in the health and human services landscape.
2	Customer Value	• **Supports Evolving Needs** - The solution supports evolving customer needs, including multiple self-service options and communication channels, including mobile. • **Customer Experience** - The solution offers an improved customer experience that should result in increased customer satisfaction and an improved relationship with the Department. • **Enables Relationships** - The solution will enable the Department to foster a stronger relationship between the agency and its customers. • **Protects Privacy** - The solution will support strong privacy and confidentiality controls of customer information to protect their identities.
3	Risk Mitigation	• **Data Risk** - The solution will mitigate the Department's risk related to data migration. • **Resource Risk** - The solution will mitigate the Department's risk related to the extremely limited availability of IT resources with the skill set required to maintain the system. • **Implementation Risk** - The solution will mitigate the Department's risk related to the success of project implementation (along key project constraints - scope, schedule, budget, quality, and resources). • **Expected Benefit Risk** - The solution will mitigate the Department's risk related to the realization of expected benefits. • **Litigation Risk** - The solution will mitigate the Department's exposure to risk of litigation. • **Fraud Risk** - The solution will mitigate the Department's risk related to fraud, abuse, and identity theft.

No.	Evaluation Criteria	Factors
4	Technical Architecture	• **Flexibility** - The solution offers the flexibility for the Department to be responsive to future state and federal mandates in a cost effective manner; and respond to a continually changing fraud environment. • **Future Demand** - The solution offers the stability and scalability necessary to support future demand. • **Integration** - The solution will enable the Department to integrate with other internal and external systems in a cost effective manner. • **Value to Partners** - The solution offers the scalability and flexibility necessary to leverage and extend it to support or add value for other internal partners (e.g., Child Welfare, SAMH) and external partners (e.g., AHCA, FHKC, DOH, DEO). • **Meets Standards** - The solution meets the Centers for Medicare and Medicaid Services Seven Standards and Conditions and is aligned with industry standards, such as the Medicaid Information Technology Architecture (MITA) and National Human Services Interoperability Architecture (NHSIA).
5	Business Alignment	• **Future Business Process** - The solution supports business process reengineering and streamlining to enable the Department to run its operations more effectively and efficiently now and in the future. • **Current Business Process** - The solution supports the Department's current business processes and would eliminate current workarounds or extensive staff training. • **Positive Impact** - The solution will positively impact the user experience/worker satisfaction, and will result in fiscal responsibility by providing benefits timely, accurately, and to only those truly eligible. • **Resource Capacity** - The solution will free-up manual and wasteful resource capacity so that it can be applied to more value-add activities.
6	Data Architecture	• **Data Governance** - The solution offers an underlying data governance solution that is manageable and scalable to meet future growth, reinforces data integrity, and supports data governance and analytics. • **Data Security** - The solution allows the state to fully protect sensitive information of Floridians in accordance with national standards. • **Data Sharing** - The solution provides industry standard interface methodologies. • **Data Analytics** - The solution enables robust trend and analysis of data.
7	Financial	• **One-time Project Costs** - The solution has a manageable project cost for implementation and other one-time components. • **Ongoing Operational Costs** - The solution's ongoing operational costs are within acceptable ranges and feasible for the Department. • **Tangible Benefits** - The solution realizes tangible benefits for stakeholders. • **Intangible Benefits** - The solution realizes intangible benefits for stakeholders. • **Financial Metrics** - The solution has acceptable ROI, NPV, and adequate payback period.

Exhibit II-16 Evaluation Criteria Description

A five-level scale was used to score each of the alternatives. Categorical scores for each alternative were determined by multiplying the evaluation scoring and the weighting factor to derive a total score for each criterion.

Score	Explanation	Numeric Value
	The alternative does not address the criteria	0
	The alternative minimally addresses the criteria	25
	The alternative moderately addresses the criteria	50
	The alternative highly addresses the criteria	75
	The alternative fully addresses the criteria	100

Exhibit II-17 Evaluation Criteria Scoring Scale

As discussed, each of the category scores (evaluation criterion) were added together to determine a final, overall score for each alternative. The results are shown below and rationale behind each scoring decision can be found in the Appendix B.

		Alternative 1		Alternative 2	
Criteria	**Wt.**	**Score**	**Total**	**Score**	**Total**
8. Alignment with Goals	20%		16.43		16.43
9. Customer Value	10%		7.50		6.88
10.Risk Mitigation	15%		8.75		7.50
11.Technical Architecture	10%		8.00		6.50
12.Business Alignment	20%		13.75		13.75
13.Data Architecture	5%		4.69		4.69
14.Financial	20%		13.00		6.00
Total Weighted Score	**100%**	**72.12**		**61.74**	

Exhibit II-18 Summary Scores by Alternative

4. Recommended Business Solution

NOTE: For IT projects with total cost in excess of $10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

Based upon the analysis of alternatives and the needs of the Department, it is recommended that seeking implementation of the ACCESS System Completion as outlined under Alternative 1, using the full upgrade over a three-year period, is in the best interest of DCF, the Department's customers and partners, and the State.

Alternative 1 will enable the Department to more effectively and efficiently serving customers while meeting growing expectations of benefit administration on an accelerated timeline. The solution will allow the Department to move from an aging system to more agile and evolving technologies through a flexible system incrementally installed in a cost efficient manner and subsequently realizes benefits and returns in a timely manner to address the Department's urgent needs. The Department has already fallen behind in its technology to deliver this service. Adopting a longer timeline could place the Department in a similar state by the time the project is completed. Furthermore, it will leverage Florida's investments in technologies established as part of the MES. As discussed, implementation over a three-year span carries certain risks particularly as it pertains to making significant changes in a narrow span of time; however, these risks can be mitigated through the risk management approach outline in Section VII of this Feasibility Study. This approach was used during the development and implementation of the MES module, and was highly successful. In fact, it was touted by CMS as one of the best ACA developments in the nation. The Department wishes to replicate the same successful plan.

Financially, the three-year option will provide a significant ROI and possesses the greatest NPV making it the best alternative from a financial perspective. This option also allows the Department to maximize the availability of the CMS proposed enhanced 90/10 funding as it currently stands. The proposed system will comply with state and federal laws and, most importantly, the recommended solution will serve to advance the Department's goal of promoting personal and economic self-sufficiency by enhancing a system that provides opportunities for individuals to take control of their personal well-being.

D. Functional and Technical Requirements

Purpose: To identify the functional and technical system requirements that must be met by the project.

The draft high-level functional and technical system requirements that must be met by the project to achieve the business objectives and business requirements outlined in the Strategic Needs Assessment section of this document are listed below.

Requirement Area	Initiative	Description
Business Functionality	Rules Engine Completion	The solution shall utilize the business rules engine (BRE) in the MES architecture to define and maintain configurable eligibility rules for the public assistance programs including Food Assistance (SNAP), Cash Assistance (TANF), Medical Assistance (Medicaid/CHIP), and Refugee Assistance Program (RAP).
Business Functionality	Rules Engine Completion	The solution shall utilize the business rules engine (BRE) in the MES architecture to define and maintain configurable business rules for the triage of error-prone and fraud-prone profiles.
Business Functionality	Client Registration and Master Client Index	The solution shall identify potential matches with existing individuals in the system during the clearance process, and allow the user to create a new customer record if the user does not find a suitable match in the system.

Requirement Area	Initiative	Description
Business Functionality	Client Registration and Master Client Index	The solution shall display a percentage match for each search result and use this score to order search results from most to least relevant, and allow users to filter and sort on search results based on pre-defined criteria.
Business Functionality	Real-time Web Services	The solution shall provide a real-time interface with Florida Medicaid Management Information System (FMMIS) to allow customers who have been determined eligible to enroll in manage care and receive benefits upon approval and without delay.
Business Functionality	Real-time Web Services	The solution shall provide a real-time two-way interface with the Department of Economic Opportunities (DEO) to allow tracking of compliance with job search requirements and monitoring of efforts to help customers find sustainable employment.
Business Functionality	Real-time Web Services	The solution shall provide a real-time interface with the Driver and Vehicle Information Database (DAVID) to verify customer identity and residence.
Business Functionality	Real-time Web Services	The solution shall provide a real-time interface with the Comprehensive Case Information System (CCIS) to receive up-to-date information with respect to child support payments.
Business Functionality	Real-time Web Services	The solution shall utilize the web services provided by the MES architecture to provide real-time verification of customer information where allowable by policy.
Business Functionality	Real-time Web Services	The solution shall provide a real-time interface with the DEO SUNTAX system to provide real-time data on unemployment benefits utilized to determine eligibility.
Business Functionality	Real-time Web Services	The solution shall migrate existing web services.
Business Functionality	Error and Fraud Prone Profiles	The solution shall automatically flag and triage applications for further review and referral without requiring worker intervention to identify fraud prior to disposition.
Business Functionality	Error and Fraud Prone Profiles	The solution shall automatically flag and triage applications with characteristics prone to error for a higher level of review before approval.
Business Functionality	Mobile Application & Upload	The solution will enable functionality to allow customers with a mobile-optimized version of “MyAccount” functionality that provides customers the ability to capture, upload, and index images of verification documents, and the ability to use location services to find the nearest referral services, all without any assistance from the Department.

Requirement Area	Initiative	Description
Business Functionality	Shared Customer Repository	The solution shall allow the user to report duplicative customer records to system administrators, and provide functionality to take corrective action.
Business Functionality	Shared Customer Repository	The solution shall utilize a master data management (MDM) solution to include master client index functionality to uniquely identify customers who may be participating in multiple programs via a shared customer repository.
Business Functionality	Shared Customer Repository	The solution shall utilize the shared customer repository to allow for the collection and searching of customer data across subscribing DCF systems.
Business Functionality	MyAccount Enhancements	The solution shall provide customers real-time access to the status of new applications, requests for additional benefits, reported changes, renewals, verifications, and benefit amounts. The solution shall allow customers to select and enroll in a Medicaid manage care provider.
Business Functionality	MyAccount Enhancements	The solution shall enable customers to engage in direct communication with the worker on pending verifications and what specific information is needed from the customer to complete processing.
Business Functionality	Worker Dashboard and Data Exchange View	The solution shall display prioritized case information on a configurable worker dashboard with drill-down to detailed information, including data gathered from existing state and federal data exchanges, alerts and third party systems relevant to the individuals associated with the work item that is being processed.
Business Functionality	Work Management and Balancing	The solution shall have the ability to throttle and route incoming work items to staff based on a work management model that balances load across regions, circuits, and administrative units.
Business Functionality	Customer Call Center Enhancements	The solution shall integrate with CCC software to allow staff to communicate with customers via chat, email, and text.
Business Functionality	Notices	The solution shall trigger, generate, and publish *detailed*, configurable notices to customers.
Business Functionality	Notices	The solution shall retain a historic record of all notices for on demand reporting.
Business Functionality	Automated No Touch Processing	The solution shall automatically import data from electronic sources such as the existing self-service portal and account transfers into the worker portal system.

Requirement Area	Initiative	Description
Business Functionality	Automated No Touch Processing	The solution shall automatically process a case from client registration through enrollment without user involvement when this meets pre-defined eligibility conditions.
Business Functionality	Automated No Touch Processing	Where conflicts exist between newly received electronic data and data that already exists in the system, the solution will display the conflicting data to the user so that the user can take action to resolve each conflict and move to the next.
Business Functionality	Automated No Touch Processing	The solution shall accurately and automatically re-determine eligibility and send an Automatic Redetermination notice for benefits where electronic verifications are available and allowable by DCF interpretation of policies and regulations.
Business Functionality	Auto Denials and Closures	The solution shall accurately and automatically deny or close cases without worker intervention based on pre-defined eligibility conditions.
Information and Data	Fraud and Abuse Tracking	The solution shall provide comprehensive application triage, workflow, and case management functionality to track and monitor complaints, referrals, investigations, claims, and outcomes for the ACCESS Integrity and Benefit Recovery programs integrated within the worker portal system.
Information and Data	Fraud and Abuse Tracking	The solution shall provide the ability to utilize EBT transaction data to identify fraud, trafficking, and identity theft.
Information and Data	Data Analysis Tools	The solution shall provide data analytic and forecasting capabilities for current, future, and historical data provided by the Data Warehouse to identify underlying factors related to fraud, waste, and abuse to detect potential misuse of benefits.
Information and Data	Data Analysis Tools	The solution shall provide the tools to identify trends and forecasting opportunities related to process improvement and training.
Information and Data	Data Analysis Tools	The system shall establish and produce a range of scores to categorize applications and work items by level of risk and priority.
Information and Data	Data Warehouse	The solution shall utilize a Data Warehouse based on the MES architecture to integrate data from different sources and create a central data repository for current and historical data.
Information and Data	Integrated Imaging	The solution shall provide integrated access to imaged documents from within the worker portal system.

Requirement Area	Initiative	Description
Information and Data	Integrated Imaging	The solution shall provide integrated access to previously submitted and indexed documents to a customer from the self-service portal.
Information and Data	Integrated Imaging	The solution shall utilize a Services-Oriented Approach (SOA) and standards-based approach to imaging based on the MES architecture.
Information and Data	Integrated Imaging	The solution shall track customer forms and notices using state-of-the-art encoding technology and smart forms to automatically route documents based on document metadata and other predefined conditions.
Information and Data	Integrated Imaging	The solution shall automatically index verification documents based on customer identification through state-of-the-art encoding technology.
Information and Data	Reports Migration	The solution shall migrate legacy reports from the ACCESS Data & Reports system, Integrated Benefit Recovery System (IBRS), Exceptions Management System, and Supplemental Payment System (SPS) and Expectations Management to the Business Objects enterprise platform established as part of the MES architecture.
Information and Data	Benefit Recovery Redesign	The solution shall provide an interface to share benefit recovery data with the Department of Public Assistance Fraud (DPAF), Department of Corrections (DOC), Department of Lottery (DOL), and Florida Department of Law Enforcement (FDLE).
Information and Data	Benefit Recovery Redesign	The solution shall enable use of the worker dashboard to identify and recover overpayment of benefits.
Information and Data	Benefit Recovery Redesign	The solution shall provide a multi-program, multi-state interface to interchange information on customers receiving benefits in other states to avoid duplicate participation.
Information and Data	QMS Redesign	The solution shall provide comprehensive quality assurance and control functionality that allows for random sampling and supervisor and second party reviews from within the worker portal system.
Information and Data	Quality/Performance Dashboard	The solution shall provide views of organizational performance based on both qualitative and quantitative metrics in a dashboard format that can be configured based on roles (i.e., executive, supervisor, and worker).
Information and Data	Advanced Workforce Analysis Tools	The solution shall utilize workforce analysis and trend tools to identify potential opportunities to optimize labor costs.
Information and Data	Near Real-time Data Access	The solution shall provide real-time access to customer data via the MyAccount and worker portal systems.

Requirement Area	Initiative	Description
Architecture	Single Sign-On	The solution shall require users to sign on only once to access multiple systems that support ESS worker processing.
Architecture	SOA/Standards	The solution architecture shall be modular with open interfaces and business rules that are separate from application-related programming.
Architecture	SOA/Standards	The solution shall comply with CMS 7 Standards and Conditions and leverage an open, standards-based, SOA that aligns with the MITA maturity model as published in 42 CFR Part 433.
Architecture	SOA/Standards	The solution shall be deployed as a web-based, graphical user interface, accessed via a web browser or mobile application.
Architecture	SOA/Standards	The solution shall comply with accessibility standards and regulations under Sections 504 and 508 of the Rehabilitation Act of 1973, as well as with the Americans with Disabilities Act of 1990 (ADA).
Architecture	Implementation Approach	The solution shall have the capability to interact with ACCESS Florida mainframe and ACCESS Document Imaging (ADI) systems to continue to provide existing business services while legacy ACCESS systems are undergoing reengineering in a phased implementation.
Architecture	System Performance	The solution shall provide the capability for capacity monitoring via server volume/capacity and network volume/capacity monitoring.
Architecture	System Performance	The solution shall provide the capability for application monitoring for all ACCESS Florida system functionality.
Architecture	System Performance	The solution shall include infrastructure based on the MES architecture to accommodate processing of existing volume and capacity of ESS worker caseloads which have had a 30% cumulative growth over the last five-year period.
Architecture	Disaster Recovery	The solution shall provide the ability to create back up customer information, case information, eligibility benefits batch files, and all system components for disaster recovery.
Architecture	Data Migration	The solution shall convert functionality and processes written in COBOL and other third party supporting software on the ACCESS Florida mainframe to an open systems platform based on MES architecture.

Requirement Area	Initiative	Description
Architecture	Data Migration	The solution shall convert customer information such as but not limited to benefit/service history, overpayments, recoupments, benefit clocks, and sanctions from the IMS hierarchical database on the ACCESS Florida mainframe to a relational database based on MES architecture.
Architecture	Data Migration	The solution shall provide the capability to convert active (on-line), inactive (i.e., closed, denied) and archived (off-line) records.
Architecture	Data Migration	The solution shall provide a mechanism to clean the data and remove duplicate records.
Architecture	Interface Migration	The solution shall migrate interfaces with the ACCESS Florida mainframe to the MES architecture based on an Enterprise Service Bus (ESB).
Architecture	Interface Migration	The solution supports the secure transmission of data via the ESB using an established security appliance as part of the MES architecture.
Architecture	Interface Migration	The solution shall provide the ability to import data into the system in multiple formats (i.e., csv, fixed length ASCII, tab-delimited).
Architecture	Interface Migration	The solution shall provide the ability to maintain external system information for interfaces (i.e., connection strings, file paths).
Architecture	Interface Migration	The solution shall provide the ability to transmit and receive imported and exported data through multiple secure methods compliant with NIST standards (i.e., file output, web service, single and batch transactions).
Architecture	Security	The solution shall meet the minimum security requirements as defined by FIPS through the use of security controls in accordance with NIST standards.
Architecture	Security	The solution shall support full compliance with the controls defined in Volume III: Catalog of Minimum Acceptable Risk Security and Privacy Controls for Exchanges, including the document suite of guidance, requirements, and templates known as the Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0.
Architecture	Security	The solution shall enable multi-factor authentication for secure access to data.

Exhibit II-19 Functional and Technical Requirements

III. Success Criteria

Purpose: To identify the critical results, both outputs and outcomes, that must be realized for the project to be considered a success.

The success of the ACCESS System Completion project will be based on a number of quantitative and qualitative factors. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the Strategic Needs Assessment section of this document, as well as the overall vision and mission of the Department.

The major success criteria for the project, along with the Key Performance Indicators (KPIs), are listed in the table below. The success criteria and the KPIs form the basis of any contracts pursued to implement the final solution. The Department anticipates the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to contemplate baseline measurement and several interim measurements before the final benefit realization report finishes.

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
1	The solution will enable the Department to provide exceptional service to its customers.	• Quality benchmarks • Percent of applications completed within time standards
2	The solution will support the Department in its on-going practice of sound fiscal stewardship of its assets.	• Quality benchmarks • Fraud prevention cost avoidance • Overhead costs • Dollars collected through Benefit Recovery • Case cost
3	The solution will promote family and individual self-determination and choice.	• Number of self-service options
4	The solution will enable the Department to improve its internal operating efficiency.	• Percent of applications completed within time standards • Fraud prevention cost avoidance • Days to process • Calls to CCC • Number of cross-program customers identified and served holistically • Number of automated processes
5	The solution will enable the Department to adapt to emerging trends on the health and human service landscape.	• Cost to implement future regulatory changes • Time to implement future regulatory changes
6	The solution will provide value to the Department's customers through additional self-service options.	• Number of self-service options • Percent of applications completed by use of automation • Percent of applications submitted via mobile • Number of CCC calls • Number of DCF Lobby visits
7	The solution will mitigate the potential risk associated with on-going support and maintenance of the system.	• On-going support and maintenance costs • Unscheduled system outages

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
8	The solution will present program data from disparate systems in an integrated view of the customer situation, needs, and services.	• Time required to process an application • Quality benchmarks • Number of cross-program customers identified and served holistically
9	The solution will meet the Centers for Medicare and Medicaid Services Seven Standards and Conditions.	• Cost to implement future regulatory changes • Time to implement future regulatory changes
10	The solution will be aligned with industry standards, such as the Medicaid Information Technology Architecture (MITA) and National Human Services Interoperability Architecture (NHSIA).	• Cost to implement future regulatory changes • Time to implement future regulatory changes
11	The solution will positively impact the user experience/employee satisfaction.	• Employee survey results • Customer survey results • Audits and review results • Turnover
12	The solution will provide an underlying data structure that is scalable to meet future growth.	• On-going support and maintenance costs • Time to implement • Ability to support data analytics • Number of cross-program customers identified and served
13	The solution will allow the Department to fully protect sensitive personal information and prevent identity theft.	• Breaches of data security/privacy • Audits and review results • Number of identity theft investigations • Fraud prevention cost avoidance
14	The solution will provide a positive financial ROI to the State of Florida.	• Project ROI • Project IRR
15	The project will be completed on-schedule, in accordance with an approved project plan.	• Interim project milestones
16	The project will be completed within the prescribed budget constraints defined in advanced of project initiation.	• Project financial performance
17	The solution will allow the Department to further prevent fraud on the front end.	• Fraud prevention cost avoidance • Number of fraud investigations • Number of benefit recovery referrals

Exhibit III-1 Project Success Criteria

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

The purpose of this section is to describe in detail the expected ROI for the proposed ACCESS System Completion project. The Cost Benefit Analysis (CBA) forms presented later in this section are used to identify:

- Proposed project benefits
- Tangible changes in program operational costs and total project cost
- Planned funding sources to support resources needed for the project
- Fiscal ROI associated with implementing the project

The ACCESS System Completion project is intended to enhance the existing ACCESS Florida System with sophisticated and state-of –the-art technology and functionality which will enable substantial improvements in how the ESS Program is operated, managed, and delivered. A number of specific opportunities have been identified to reduce the cost of current practices that are labor intensive, cumbersome, and inefficient. These opportunities – when realized – will yield a significant economic benefit for the department.

The ACCESS System Completion benefits described in this analysis will be the result of incrementally replacing costly and operationally complex components of the current system in combination with improvements in ESS Program business processes to align with technology best practices to maximize ROI. The tangible benefits are driven by a mix of reductions to fraud and waste, increased customer self-service and automation, technology maintenance and operations efficiencies, and operational efficiencies. A detailed explanation of how the benefits are calculated is provided in Section IV.A Benefits Realization Table.

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

The following table provides a breakdown and explanation of the expected benefits, both tangible and intangible, which Alternative 1 – 3-Year ACCESS System Completion effort is expected to yield for DCF. The detailed benefit realization calculations and assumptions are in Appendix C.

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.	Streamlined Application Entry Process Improved Productivity - $1,709,744 in benefits per year once implemented (implementation of Automatic Redeterminations & No Touch impacts this benefit). See BF-01 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) DCF Partner Agencies Florida Taxpayers	• Consolidation of entry processing to one system • Reduced number of screens required to process an application • Automated population of customer and administrative data	Number of cases processed Average application entry processing time Percentage of applications processed within time standards	Benefits realization starting 07/19
2.	Streamlined Client Registration Process Improved Productivity - $202,338 in benefits for the first year (based on mid-year implementation) and then $303,507 per year once implemented (implementation of No Touch impacts this benefit). See BF-02 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) DCF Partner Agencies Florida Taxpayers Federal Taxpayers	• Consolidation of registration processing to one system	Number of cases processed Average client registration processing time Percentage of applications processed within time standards	Benefits realization starting 01/19
3.	Improved Effectiveness and Consolidation of Customer Notices Improved Productivity & General Expense Reduction - $179,698 in benefits for the first year (based on mid-year implementation) and then $359,396 per year once implemented. See BF-03 in Appendix C for detailed benefits calculation and assumptions. Improved Customer Service – Quantifiable financial benefits related to improved customer service for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) DCF Community Partners Florida Taxpayers	• Reduced mail costs through more effective initial notices • Reduced calls to the CCC as a result of confusion related to notices	Yearly DCF mail volume Number of notice- related calls to the CCC	Benefits realization starting 01/19
		DCF Staff DCF Customers (Program Participants)	• Increased effectiveness of notices provides applicants and beneficiaries clear status information reducing confusion and the need for subsequent follow-up interactions • Reduces overall call volume thus decreasing busy call rate	Customer service scores CCC busy rate	Benefits realization starting 01/19

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)**
4.	Introduction of Automatic Redetermination & Expansion of No Touch Improved Productivity - $2,254,979 in benefits for the first year (based on mid-year implementation) and then $4,509,958 per year once implemented. See BF-04 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Reduced worker caseload through the automation of certain renewals	Percentage of Automatic Redeterminations Percentage of automated no touch applications Number of cases processed Case processing times Percentage of applications processed within time standards	Benefits realization starting 01/20
	Improved Customer Service – Quantifiable financial benefits related to improved customer service for this initiative were not determined.	DCF Staff DCF Customers (Program Participants)	• Improved customer service through reduced eligibility determination processing times and decreased incidence of appropriate benefits being denied	Percentage of applications processed within time standards Customer service score	Benefits realization starting 07/20
5.	Enhanced Work Management & Balancing Improved Workforce Management - Quantifiable financial benefits related to improved workforce management for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of dynamic work management functionality that automatically configures routing of incoming work items to the correct administrative unit • Improved work balance across the State to maximize current personnel • Reduced overall case processing time through improved management of resources against key case processing tasks	Number of Cases Processed Case processing times Percentage of applications processed within time standards Overtime spend	Benefits realization starting 07/19

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)**
6.	Consolidated and Summarized Worker Dashboard Increased Productivity - $4,944,439 in benefits per year once implemented ($3,978,038 after implementation of Automatic Redeterminations & No Touch). See BF-05 in Appendix C for detailed benefits calculation and assumptions. Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	• Reduced case processing times as a result of a simplified and prioritized view of work items and their statuses • Decreased report and systems navigation time related to case processing as a result of the integrated data exchange	Number of cases processed Case processing times Percentage of applications processed within time standards	Benefits realization starting 07/18
		DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Improved benefits accuracy through consolidation of customer data for worker review	Percentage of benefits determined accurately	Benefits realization starting 07/18
7.	Improved Data Quality Through A Shared Customer Repository Reduced Fraud, Waste, & Abuse - $783,093 in benefits for the first year (based on mid-year implementation) and then $1,566,186 per year once implemented. See BF-06 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of a single-source of truth for customer data that reduces instances of inconsistent and duplicated data between systems • Reduced fraud, waste, and abuse as a result of decreased probability of approving duplicate benefits • Improved benefits accuracy through consolidation of customer data	Percentage of benefits determined accurately Amount of Access Integrity (AI) benefits saved ROI of AI program	Benefits realization starting 01/19

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)
8.	Increased Customer Self-Service and Automation through MyAccount Enhancements Increased Self-Service & Automation - $1,107,945 in benefits for the first year (based on mid-year implementation) and then incrementally increasing to $2,358,412. See BF-07 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	• Reduced lobby visits related to application and documentation statuses • Reduced calls to the CCC for information captured in the self-service system • Increased online documentation uploads that reduces scanning, indexing, searching of mailed case documentation	Number of lobby visits related to application and documentation status Number of application and documentation status calls to the CCC Number of documents mailed in Case processing times Percentage of applications processed within time standards	Benefits realization starting 01/19
9.	Increased Customer Self-Service and Automation Through Enabling Future Mobile Optimized MyAccount Increased Self-Service & Automation - $223,877 in benefits per year once implemented and incrementally decreasing to $217,348 as MyAccount Enhancements fully phase into effect. See BF-08 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	• Reduced calls to the CCC for information captured in the self-service system • Increased online documentation uploads that reduce scanning, indexing, searching of mailed case documentation	Number of application and documentation status calls to the CCC Number of mailed in documents Case processing times Percentage of applications processed within time standards	Benefits realization starting 07/18
10.	Real-Time Verification of Customer Data From External Interfaces (FMMIS, DEO, DAVID, & CCIS) Improved Productivity - $3,980,775 in benefits per year once implemented. See BF-09 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of real-time web services • Reduced case processing times through reduction of manual inquiries to DAVID and CCIS	Number of Manual DAVID & CCIS Inquiries Number of Cases Processed Case Processing Times Percentage of applications processed within time standards	Benefits realization starting 07/18 and 07/20

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)**
	Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Federal Taxpayers	• Improved benefits accuracy through automated verification of customer data	Percentage of benefits determined accurately	Benefits realization starting 07/18
11.	Automatic Flagging of Cases Based On Error and Fraud Prone Profiles Improved Productivity - $209,061 in benefits for the first year (based on mid-year implementation) and then $418,123 in benefits per year once implemented. See BF-10 in Appendix C for details. Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Reduced case processing times through automation of the case flagging for potential fraud, waste, and abuse	Number of cases processed Case processing times Percentage of applications processed within time standards	Benefits realization starting 01/19
		DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Improved benefits accuracy through increased effectiveness of error prone case flagging	Percentage of benefits determined accurately	Benefits realization starting 01/19
12.	Streamlined and Automated Case Closure & Sanctions Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Improved benefits accuracy through less manually intensive and timely case closures	Percentage of benefits determined accurately	Benefits realization starting 07/19

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)
13.	Customer Service Improvements Through Call Center Enhancements Improved Customer Service - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Introduction of additional channels of communication, such as instant messaging, secure email and text, allows customers to engage the department more efficiently • Provides additional written communications for customers' future reference	Customer service scores Number of calls to the call center	Benefits realization starting 07/20
14.	Customer Service Improvements Through Reductions to Negative Error Rate Improved Customer Service & Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined given uncertain nature of federal bonus money actually being awarded.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of the "Automatic Redeterminations & No Touch" and "Auto Closure & Sanctions" initiatives will reduce the incidence of appropriate benefits applications being denied • Significant reduction of the negative error rate could in-turn lead to federal bonus money from FNS according to Title 7 of the Code of Federal Regulations (7 CFR 275.24(b)(2)).	Negative error rate Federal bonus money for most improved negative error rate or lowest negative error rate Customer service scores	Benefits realization starting 07/18
15.	Increased Business Ownership Over Eligibility, Benefits Issuance or Authorization Rules Changes Improved Productivity - Quantifiable financial benefits related to increased ownership of rules changes for this initiative were not determined.	DCF Staff	• Transitioning the remaining rules to the modern rules engine allows the business to assume more responsibility for changing and testing eligibility rules	Time to implement eligibility rules changes	Benefits realization starting 07/20

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)**
16.	Improved Document Imaging Integration Improved Productivity - $1,129,343 in benefits per year once implemented. See DI-01 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of an imaging system that integrates with the worker portal and automatically updates case dashboard with document arrivals • Reduced case processing time resulting from decreased time caseworkers need to manually search for relevant case documentation	Number of cases processed Case processing times Percentage of applications processed within time standards	Benefits realization starting 07/18
17.	Simplified Quality Management System (QMS) & Quality Control (QC) Processes Improved Productivity - $148,373 in benefits per year once implemented. See DI-02 in Appendix C for details. Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	• Consolidation of the QMS & QC functionality into one system • Reduced QC processing time resulting from automation of case sampling for Tier I and Tier II Designated Reader Reviews	Number of Cases Manually Sampled QC process times	Benefits realization starting 07/19
		DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Improved benefits accuracy through increased time for QC staff to read cases rather manually sampling them	Percentage of benefits determined accurately	Benefits realization starting 07/19
18.	Consolidated and Integrated BR System Reduced Fraud, Waste, & Abuse - $1,563,302 in benefits for the first year (based on implementation prior to year's end) and then increasing to $12,506,417 in benefits per year. See DI-03 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Integration of the BR functionality into the Worker Portal • Increased claim establishment and collection through reduced referral disposition processing times	Number of referrals processed Dollars collected through BR ROI of BR program	Benefits realization starting 01/19

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)
19.	Comprehensive Fraud & Abuse Tracking Workflow & Case Management System Reduced Fraud, Waste, & Abuse - $900,450 in benefits per year once implemented. See DI-04 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of a case management system that tracks and monitors complaints, referrals, investigations, claims and outcomes for AI and BR • Increased collections (one month of benefits per claim on average) through the reduced lag time between claim disposition and the start of recoupment activities	Number of referrals processed Average lag time between claim disposition and recoupment Dollars collected through BR ROI of BR Program	Benefits realization starting 07/18
20.	Advanced, Predictive Fraud Analysis Reduced Fraud, Waste, & Abuse - $783,093 in benefits for the first year (based on implementation prior to year's end) and then $3,132,371 in benefits per year. See DI-05 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	• Implementation of advanced analytical models that identify key fraud, waste, and abuse trends based on current and historical data • Reduction of fraud, waste, and abuse through better understanding of key factors affecting misappropriation of benefits	Percentage of benefits determined accurately Amount of AI benefits saved ROI of AI program	Benefits realization starting 01/20
21.	Improved Organizational Management and Decision Making Improved Workforce Management - Quantifiable financial benefits related to improved workforce management for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	• Implementation of a Quality & Performance Dashboard and Advanced Workforce Analysis tools to optimize workforce performance and alignment • Decreased incremental employment needs through improved workforce forecasting and planning • Increased productivity through alignment of appropriate resources to most pressing business processes	Overtime spend Number of cases processed Case processing times Percentage of applications processed within time standards	Benefits realization starting 07/17

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)
22.	Simplified Sign-on Process Through Single Sign On Improved Productivity - $3,046,022 in benefits per year once implemented. See A-01 in Appendix C for details.	DCF Staff Florida Taxpayers	• Implementation of single sign-on functionality for eight systems allowing role-based access throughout • Reduction of worker time spent logging in to multiple systems multiple times per day	Number of ACCESS Florida Systems with unique username & passwords Daily time spent logging in to ACCESS Florida Systems	Benefits realization starting 07/19
23.	Adaptable Architecture for Future Innovation, Policy Changes, and Increased Caseload Improved Technology Architecture - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff	• Implementation of the "Infrastructure Upgrade," Interfaces Migration", "Batch Processes," "Data Conversion," & "Data Warehouse Refresh" initiatives modernizes ACCESS Florida's architecture making systems changes less complex and costly • Scalable technology allows the Department to scale their system up and down to meet case demand	Average systems change request implementation time	Partial benefits will begin on 07/16. Full benefits realization starting 07/18
24.	Reduced Legacy System Programming Maintenance Reduced M&O - $400,000 in benefits per year once the "EDBC/SFU/Rules Engine/BI/AU," "Reports Migration," & "Real-time Access to Client Data" initiatives are completed. See MS-01, MS-02, & MS-03 respectively in Appendix C for details.	DCF Staff	• Implementation of "EDBC/SFU/Rules Engine/BI/AU," "Reports Migration," & "Real-time Access to Client Data" reduce the costs of implementing changes in a legacy environment	Total SI M&O spend	Partial benefits will begin on 07/17 and increase incrementally each year. Full benefits realization starting 07/18

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)
25.	Reduced Mainframe Maintenance & Support Reduced M&O - $1,098,145 in benefits for Year 2 (based on partial implementation prior to year's end) and then increasing to $4,392,579 in benefits per year once the "Infrastructure Update" activities are completed. See MS-04 in Appendix C for details.	DCF Staff	• Implementation of the full "Infrastructure Upgrade" initiative will move the architecture completely off the Mainframe • Given the lease renewal date of FY18-19, DCF could negotiate to downgrade Mainframe capacity and software use for FSFN's exclusive use	Total AST mainframe spend	Benefits realization starting 01/19
26.	Increased Pool of Available Maintenance & Operations Personnel Familiar with System Technology Reduced M&O Risk – Quantifiable financial benefits related to reducing the risk of finding and staffing Mainframe experts for this initiative were not determined.	DCF Staff	• A complete move from the mainframe platform increases the likelihood of finding skilled resources to maintain and upgrade the system	Number of qualified midrange and client-server architecture support applicants	Partial benefits will begin on 07/16. Full benefits realization starting 07/18

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.

This section contains CBA Forms from the Schedule IV-B Feasibility Study Guidelines. Given the five-year timeline established in in the CBA Forms included with the Schedule IV-B Feasibility Study Guidelines, Payback Period and Breakeven Fiscal Year cannot be determined if they extend beyond five-years. As such, a seven-year CBA has been prepared for this section to demonstrate the true financial value of Alternative 1 – 3-Year ACCESS System Completion. Assumptions for the recommended project benefits and costs are detailed in Appendix C & D respectively.

These forms are presented based on the assumption that the cost allocation exception will end effective December 31, 2018. The financial metrics (i.e. ROI, NPV, IRR) are not impacted by a change in match rates as these measures are calculated using total costs. The various CBA forms as well as the detailed cost and benefits calculations for each alternative can be found in the spreadsheets provided with the IV-B submission.

DCF ACCESS System Completion
Operational Costs & Tangible Benefits

Cost		1 FY 2017-2018 Existing Program Costs	1 FY 2017-2018 Operational Cost Change	1 FY 2017-2018 New Program Costs From Proposed Project	2 FY 2018-2019 Existing Program Costs	2 FY 2018-2019 Operational Cost Change	2 FY 2018-2019 New Program Costs From Proposed Project	3 FY 2019-2020 Existing Program Costs	3 FY 2019-2020 Operational Cost Change	3 FY 2019-2020 New Program Costs From Proposed Project	4 FY 2020-2021 Existing Program Costs	4 FY 2020-2021 Operational Cost Change	4 FY 2020-2021 New Program Costs From Proposed Project
A. Personnel - Total FTE - Costs		$ 184,203,686	$ -	$ 184,203,686	$ 184,203,686	$ -	$ 184,203,686	$ 184,203,686	$ -	$ 184,203,686	$ 184,203,686	$ -	$ 184,203,686
A.b Total FTE		4,220	-	4,220	4,220	-	4,220	4,220	-	4,220	4,220	-	4,220
A-1.a. State FTEs (Salaries & Benefits)		$ 174,489,348	$ -	$ 174,489,348	$ 174,489,348	$ -	$ 174,489,348	$ 174,489,348	$ -	$ 174,489,348	$ 174,489,348	$ -	$ 174,489,348
A-1.b. State FTEs (# FTEs)		3,961	-	3,961	3,961	-	3,961	3,961	-	3,961	3,961	-	3,961
A-2.a. OPS FTE (Salaries)		$ 3,680,355	$ -	$ 3,680,355	$ 3,680,355	$ -	$ 3,680,355	$ 3,680,355	$ -	$ 3,680,355	$ 3,680,355	$ -	$ 3,680,355
A-2.b. OPS FTE (# FTE)		127	-	127	127	-	127	127	-	127	127	-	127
A-3.a. Staff Aug (Contract Cost)		$ 6,033,984	$ -	$ 6,033,984	$ 6,033,984	$ -	$ 6,033,984	$ 6,033,984	$ -	$ 6,033,984	$ 6,033,984	$ -	$ 6,033,984
A-3.b. Staff Aug (# of Contract FTEs)		132	-	132	132	-	132	132	-	132	132	-	132
B. Data Processing - Costs		$ 380,584	$ -	$ 380,584	$ 411,584	$ -	$ 411,584	$ 446,584	$ -	$ 446,584	$ 485,584	$ -	$ 485,584
B-1. Hardware		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
B-2. Software		$ 380,584	$ -	$ 380,584	$ 411,584	$ -	$ 411,584	$ 446,584	$ -	$ 446,584	$ 485,584	$ -	$ 485,584
B-3. Other	N/A	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
C. External Service Provider - Costs		$ 56,946,877	$ -	$ 56,946,877	$ 56,946,877	$ -	$ 56,946,877	$ 56,946,877	$ -	$ 56,946,877	$ 56,946,877	$ -	$ 56,946,877
C-1. Consultant Services		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
C-2. Maintenance & Support Services		$ 5,341,160	$ -	$ 5,341,160	$ 5,341,160	$ -	$ 5,341,160	$ 5,341,160	$ -	$ 5,341,160	$ 5,341,160	$ -	$ 5,341,160
C-3. Network / Hosting Services		$ 11,334,642	$ -	$ 11,334,642	$ 11,334,642	$ -	$ 11,334,642	$ 11,334,642	$ -	$ 11,334,642	$ 11,334,642	$ -	$ 11,334,642
C-4. Data Communication Services		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
C-5. Other	Contracted Services	$ 40,271,075	$ -	$ 40,271,075	$ 40,271,075	$ -	$ 40,271,075	$ 40,271,075	$ -	$ 40,271,075	$ 40,271,075	$ -	$ 40,271,075
D. Plant & Facility - Costs		$ 10,522,483		$ 10,522,483	$ 10,522,483		$ 10,522,483	$ 10,522,483		$ 10,522,483	$ 10,522,483		$ 10,522,483
E. Others - Cost		$ 18,789,129	$ -	$ 18,789,129	$ 18,789,129	$ -	$ 18,789,129	$ 18,789,129	$ -	$ 18,789,129	$ 18,789,129	$ -	$ 18,789,129
E-1. Training		$ 10,000	$ -	$ 10,000	$ 10,000	$ -	$ 10,000	$ 10,000	$ -	$ 10,000	$ 10,000	$ -	$ 10,000
E-2. Travel		$ 925,438	$ -	$ 925,438	$ 925,438	$ -	$ 925,438	$ 925,438	$ -	$ 925,438	$ 925,438	$ -	$ 925,438
E-3. Other		$ 17,853,691	$ -	$ 17,853,691	$ 17,853,691	$ -	$ 17,853,691	$ 17,853,691	$ -	$ 17,853,691	$ 17,853,691	$ -	$ 17,853,691
		$ -	$ -	$ -	$ -	$ -	$ -		$ -			$ -	
Total		$ 270,842,759	$ -	$ 270,842,759	$ 270,873,759	$ -	$ 270,873,759	$ 270,908,759	$ -	$ 270,908,759	$ 270,947,759	$ -	$ 270,947,759

Framework Area		$ -			$ 16,013,404			$ 35,490,785			$ 43,391,291	
Business Functionality		$ -			$ 11,322,165			$ 16,746,785			$ 19,256,156	
Architecture		$ -			$ -			$ 3,046,022			$ 3,046,022	
Information and Data		$ -			$ 3,593,094			$ 12,732,617			$ 16,256,534	
Maintenance & Support		$ -			$ 1,098,145			$ 2,965,362			$ 4,832,579	
Net Tangible Benefits		**$ -**			**$ 16,013,404.09**			**$ 35,490,785**			**$ 43,391,291**	

Characterization of Project Benefit Estimate			
Choose Type		**Estimate Confidence**	**Enter % (+/-)**
Detailed/Rigorous		Confidence Level	
Order of Magnitude	**X**	Confidence Level	**25-40%**
Placeholder		Confidence Level	

DCF ACCESS System Completion
Operational Costs & Tangible Benefits

Cost		5 FY 2021-2022 Existing Program Costs	5 FY 2021-2022 Operational Cost Change	5 FY 2021-2022 New Program Costs From Proposed Project	6 FY 2022-2023 Existing Program Costs	6 FY 2022-2023 Operational Cost Change	6 FY 2022-2023 New Program Costs From Proposed Project	7 FY 2023-2024 Existing Program Costs	7 FY 2023-2024 Operational Cost Change	7 FY 2023-2024 New Program Costs From Proposed Project
A. Personnel - Total FTE - Costs		$ 184,203,686	$ -	$ 184,203,686	$ 184,203,686	$ -	$ 184,203,686	$ 184,203,686	$ -	$ 184,203,686
A.b Total FTE		4,220	-	4,220	4,220	-	4,220	4,220	-	4,220
A-1.a. State FTEs (Salaries & Benefits)		$ 174,489,348	$ -	$ 174,489,348	$ 174,489,348	$ -	$ 174,489,348	$ 174,489,348	$ -	$ 174,489,348
A-1.b. State FTEs (# FTEs)		3,961	-	3,961	3,961	-	3,961	3,961	-	3,961
A-2.a. OPS FTE (Salaries)		$ 3,680,355	$ -	$ 3,680,355	$ 3,680,355	$ -	$ 3,680,355	$ 3,680,355	$ -	$ 3,680,355
A-2.b. OPS FTE (# FTE)		127	-	127	127	-	127	127	-	127
A-3.a. Staff Aug (Contract Cost)		$ 6,033,984	$ -	$ 6,033,984	$ 6,033,984	$ -	$ 6,033,984	$ 6,033,984	$ -	$ 6,033,984
A-3.b. Staff Aug (# of Contract FTEs)		132	-	132	132	-	132	132	-	132
B. Data Processing - Costs		$ 485,584	$ -	$ 485,584	$ 485,584	$ -	$ 485,584	$ 485,584	$ -	$ 485,584
B-1. Hardware		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
B-2. Software		$ 485,584	$ -	$ 485,584	$ 485,584	$ -	$ 485,584	$ 485,584	$ -	$ 485,584
B-3. Other	N/A	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
C. External Service Provider - Costs		$ 56,946,877	$ -	$ 56,946,877	$ 56,946,877	$ -	$ 56,946,877	$ 56,946,877	$ -	$ 56,946,877
C-1. Consultant Services		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
C-2. Maintenance & Support Services		$ 5,341,160	$ -	$ 5,341,160	$ 5,341,160	$ -	$ 5,341,160	$ 5,341,160	$ -	$ 5,341,160
C-3. Network / Hosting Services		$ 11,334,642	$ -	$ 11,334,642	$ 11,334,642	$ -	$ 11,334,642	$ 11,334,642	$ -	$ 11,334,642
C-4. Data Communication Services		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
C-5. Other	Contracted Services	$ 40,271,075	$ -	$ 40,271,075	$ 40,271,075	$ -	$ 40,271,075	$ 40,271,075	$ -	$ 40,271,075
D. Plant & Facility - Costs		$ 10,522,483	$ -	$ 10,522,483	$ 10,522,483	$ -	$ 10,522,483	$ 10,522,483	$ -	$ 10,522,483
E. Others - Cost		$ 18,789,129	$ -	$ 18,789,129	$ 18,789,129	$ -	$ 18,789,129	$ 18,789,129	$ -	$ 18,789,129
E-1. Training		$ 10,000	$ -	$ 10,000	$ 10,000	$ -	$ 10,000	$ 10,000	$ -	$ 10,000
E-2. Travel		$ 925,438	$ -	$ 925,438	$ 925,438	$ -	$ 925,438	$ 925,438	$ -	$ 925,438
E-3. Other		$ 17,853,691	$ -	$ 17,853,691	$ 17,853,691	$ -	$ 17,853,691	$ 17,853,691	$ -	$ 17,853,691
Total		$ 270,947,759	$ -	$ 270,947,759	$ 270,947,759	$ -	$ 270,947,759	$ 270,947,759	$ -	$ 270,947,759
Framework Area			$ 46,563,226			$ 46,563,226			$ 46,563,226	
Business Functionality			$ 19,301,487			$ 19,301,487			$ 19,301,487	
Architecture			$ 3,046,022			$ 3,046,022			$ 3,046,022	
Information and Data			$ 19,383,139			$ 19,383,139			$ 19,383,139	
Maintenance & Support			$ 4,832,579			$ 4,832,579			$ 4,832,579	
Net Tangible Benefits			**$ 46,563,226**			**$ 46,563,226**			**$ 46,563,226**	

DCF ACCESS System Completion

Project Cost Summary & Funding Sources **Period**

			1			2			3			4		
			FY 2017-2018			FY 2018-2019			FY 2019-2020			FY 2020-2021		
Cost Category	Match Percentage (thru 12/31/2018)	Match Percentage (beginning 01/01/2019)	Yearly Cost	Federal Match	State's Yearly Cost	Yearly Cost	Federal Match	State's Yearly Cost	Yearly Cost	Federal Match	State's Yearly Cost	Yearly Cost	Federal Match	State's Yearly Cost
FTE	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
OPS	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Staff Augmentation	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Project Management	86.00%	69.00%	$ 2,277,273	$ 1,958,455	$ 318,818	$ 6,041,364	$ 4,425,299	$ 1,616,065	$ 3,843,188	$ 2,651,800	$ 1,191,388	$ -	$ -	$ -
Project Oversight	86.00%	69.00%	$ 569,318	$ 489,614	$ 79,705	$ 1,510,341	$ 1,106,325	$ 404,016	$ 960,797	$ 662,950	$ 297,847	$ -	$ -	$ -
Consultants/ Contractors DDI	86.00%	69.00%	$ 18,305,000	$ 15,742,300	$ 2,562,700	$ 52,515,000	$ 38,467,238	$14,047,763	$ 33,665,000	$ 23,228,850	$ 10,436,150	$ -	$ -	$ -
Consultants/ Contractors M&O - Core	86.00%	69.00%	$ -	$ -	$ -	$ 2,000,000	$ 1,465,000	$ 535,000	$ 3,960,000	$ 2,732,400	$ 1,227,600	$ -	$ -	$ -
Consultants/Contractors M&O - Incremental Code Enhancements/Fixes	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Project Planning/Analysis	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Hardware	86.00%	69.00%	$ 460,000	$ 395,600	$ 64,400	$ 600,000	$ 439,500	$ 160,500	$ 600,000	$ 414,000	$ 186,000	$ -	$ -	$ -
Commercial Software	86.00%	69.00%	$ 4,260,000	$ 3,663,600	$ 596,400	$ 4,740,000	$ 3,472,050	$ 1,267,950	$ 1,660,000	$ 1,145,400	$ 514,600	$ -	$ -	$ -
Project Deliverables	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Training	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Change Management	86.00%	69.00%	$ 569,318	$ 489,614	$ 79,705	$ 1,510,341	$ 1,106,325	$ 404,016	$ 960,797	$ 662,950	$ 297,847	$ -	$ -	$ -
Data Center Services - One Time Costs	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Data Center Services/ Incremental Midrange M&O	86.00%	69.00%	$ 1,050,000	$ 903,000	$ 147,000	$ 2,100,000	$ 1,538,250	$ 561,750	$ 2,390,070	$ 1,649,148	$ 740,922	$ 2,390,070	$ 1,649,148	$ 740,922
Other Services	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Equipment	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Leased Space	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
MARS-e	86.00%	69.00%	$ 975,000	$ 838,500	$ 136,500	$ 4,500,000	$ 3,296,250	$ 1,203,750	$ -	$ -	$ -	$ -	$ -	$ -
Other Expenses	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		Yearly Total	$ 28,465,909	$ 24,480,682	$ 3,985,227	$ 75,517,045	$ 55,316,236	$20,200,810	$ 48,039,852	$ 33,147,498	$ 14,892,354	$ 2,390,070	$ 1,649,148	$ 740,922

DCF ACCESS System Completion

Project Cost Summary & Funding Sources **Period**

			5			6			7			
			FY 2021-2022			FY 2022-2023			FY 2023-2024			
Cost Category	Match Percentage (thru 12/31/2018)	Match Percentage (beginning 01/01/2019)	Yearly Cost	Federal Match	State's Yearly Cost	Yearly Cost	Federal Match	State's Yearly Cost	Yearly Cost	Federal Match	State's Yearly Cost	Category Totals
FTE	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
OPS	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Staff Augmentation	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Project Management	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 12,161,825
Project Oversight	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 3,040,456
Consultants/ Contractors DDI	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 104,485,000
Consultants/ Contractors M&O - Core	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 5,960,000
Consultants/Contractors M&O - Incremental Code Enhancements/Fixes	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Project Planning/Analysis	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Hardware	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 1,660,000
Commercial Software	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 10,660,000
Project Deliverables	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Training	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Change Management	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 3,040,456
Data Center Services - One Time Costs	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Data Center Services/ Incremental Midrange M&O	86.00%	69.00%	$ 2,390,070	$ 1,649,148	$ 740,922	$ 2,390,070	$ 1,649,148	$ 740,922	$ 2,390,070	$ 1,649,148	$ 740,922	$ 15,100,350
Other Services	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Equipment	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Leased Space	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
MARS-e	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 5,475,000
Other Expenses	86.00%	69.00%	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
		Yearly Total	$ 2,390,070	$ 1,649,148	$ 740,922	$ 2,390,070	$ 1,649,148	$ 740,922	$ 2,390,070	$ 1,649,148	$ 740,922	$ 161,583,087

PROJECT COST SUMMARY	Project Cost Summary						
	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023	FY 2023-2024
TOTAL PROJECT COSTS	$ 28,465,909	$ 75,517,045	$ 48,039,852	$ 2,390,070	$ 2,390,070	$ 2,390,070	$ 2,390,070
CUMULATIVE PROJECT COSTS	$ 28,465,909	$ 103,982,955	$ 152,022,807	$ 154,412,877	$ 156,802,947	$ 159,193,017	$ 161,583,087

Project Funding Sources	Project Funding Sources						
	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023	FY 2023-2024
General Revenue	$ (3,985,227)	$ (20,200,810)	$ (14,892,354)	$ (740,922)	$ (740,922)	$ (740,922)	$ (740,922)
Trust Fund							
Federal Match	$ (24,480,682)	$ (55,316,236)	$ (33,147,498)	$ (1,649,148)	$ (1,649,148)	$ (1,649,148)	$ (1,649,148)
Grants							
Other							
Total Investment	$ (28,465,909)	$ (75,517,045)	$ (48,039,852)	$ (2,390,070)	$ (2,390,070)	$ (2,390,070)	$ (2,390,070)
Cumulative Investment	$ (28,465,909)	$ (103,982,955)	$ (152,022,807)	$ (154,412,877)	$ (156,802,947)	$ (159,193,017)	$ (161,583,087)

Characterization of Project Benefit Estimate			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude	X	Confidence Level	25-40%
Placeholder		Confidence Level	

DCF ACCESS System Completion

Investment Summary

	Cost Benefit Analysis						
	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023	FY 2023-2024
Project Cost	$ (28,465,909)	$ (75,517,045)	$ (48,039,852)	$ (2,390,070)	$ (2,390,070)	$ (2,390,070)	$ (2,390,070)
Project Benefits	$ -	$ 16,013,404	$ 35,490,785	$ 43,391,291	$ 46,563,226	$ 46,563,226	$ 46,563,226
Yearly Return	$ (28,465,909)	$ (59,503,641)	$ (12,549,067)	$ 41,001,221	$ 44,173,156	$ 44,173,156	$ 44,173,156

Return On Investment Analysis		
Payback Period (Years)	5.33	Payback Period is the time required to recover the investment costs of the project
Breakeven Fiscal Year	FY2022-2023	Fiscal year during which the project's investment costs are recovered
ROI	45.18%	Return on investment is the measure of a project's net benefits relative to it's total costs
Net Present Value (NPV)	$ 37,971,495	NPV is the present-day value of the project's benefits less costs over the project's lifecycle
Internal Rate of Return (IRR)	16.27%	IRR is the project's rate of return

	Investment Interest Earning Yield - Discount Rate						
	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023	FY 2023-2024
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%	4.85%	4.85%

1. The Cost-Benefit Analysis Results

The benefits that will be realized by the ACCESS System Completion are sizeable and make an extremely compelling business case.

An enhanced ACCESS Florida System is estimated to deliver the following annually recurring tangible benefits of $46,563,226 to the ACCESS system and Florida stakeholders.

$ Amounts	Benefits By Area
$19,301,487	Business Functionality
$19,383,139	Information and Data
$3,046,022	Architecture
$4,832,579	Maintenance & Support
$46,563,226	**TOTAL**

Exhibit IV-1 Alternative 1 Summary of Benefits

a. Project Costs

The estimated total cost of implementing the proposed ACCESS System Completion project is $161.6 Million over a seven-year period.

The table below represents the state share of costs for the project. The state share of costs was calculated using the following:

- **Prior to January 1, 2019** – costs incurred are allocated to federal and state funding sources based on the enhanced federal match for Medicaid and the cost allocation exception for TANF and SNAP-related costs. This results in an estimated 86% federal share and a 14% state share.
- **On/after January 1, 2019** – the cost allocation exception ends and therefore costs incurred are allocated to federal and state funding sources based only on the enhanced federal match for Medicaid. This results in an estimated 69% federal share and a 31% state share.

	FY17-18	FY18-19	FY19-20	FY20-21	FY21-22	FY22-23	FY23-24	7-Year Total
Total Cost	$28.5 M	$75.5 M	$48.0 M	$2.4 M	$2.4 M	$2.4 M	$2.4 M	$161.6 M
Total State Cost	$3.9 M	$20.2 M	$14.9 M	$741 K	$741 K	$741 K	$741 K	$741 K

Exhibit IV-2 Alternative 1 Summary of Costs

b. Project Financial Return Analysis

The Department has computed the following values for the ACCESS System Completion project using a seven-year cost benefit analysis.

Investment Term	Computed Value
Total Cost	$161.6 M distributed over seven fiscal years
Tangible Benefits – Yearly	$46.563 M per year in recurring benefits
Payback Period	5.33 years

Investment Term	Computed Value
Payback Date	SFY 2022-2023
	7 Year Analysis
Net Tangible Benefits	$73.002 M (benefits minus costs)
ROI	45.18%
NPV	$37.971 M
IRR	16.27%

Exhibit IV-3 Alternative 1 Financial Return Analysis

- The breakeven year is SFY 2022-23, approximately two years after the ACCESS System Completion project's key functionality and technology architecture is fully deployed. This relatively short breakeven period indicates a strong project that will pay for itself quickly.
- The seven-year NPV is $37.971 Million. By this measure, the ACCESS System Completion project is an excellent investment.
- The internal IRR is 16.27 percent. The Florida Legislature's Office of Economic and Demographic Research (EDR) estimates the cost of capital for investment analysis purposes to be 4.85 at the end of the seven-year timeline. Given that the ACCESS System Completion project's IRR exceeds the forecasted cost of capital, the project would provide a significantly positive impact to the Department's financial position.

The following graph displays the cumulative discounted cash flow from the ACCESS System Completion project's costs and benefits over the seven fiscal years. This figure depicts the superior performance of the ACCESS System Completion project as an investment.

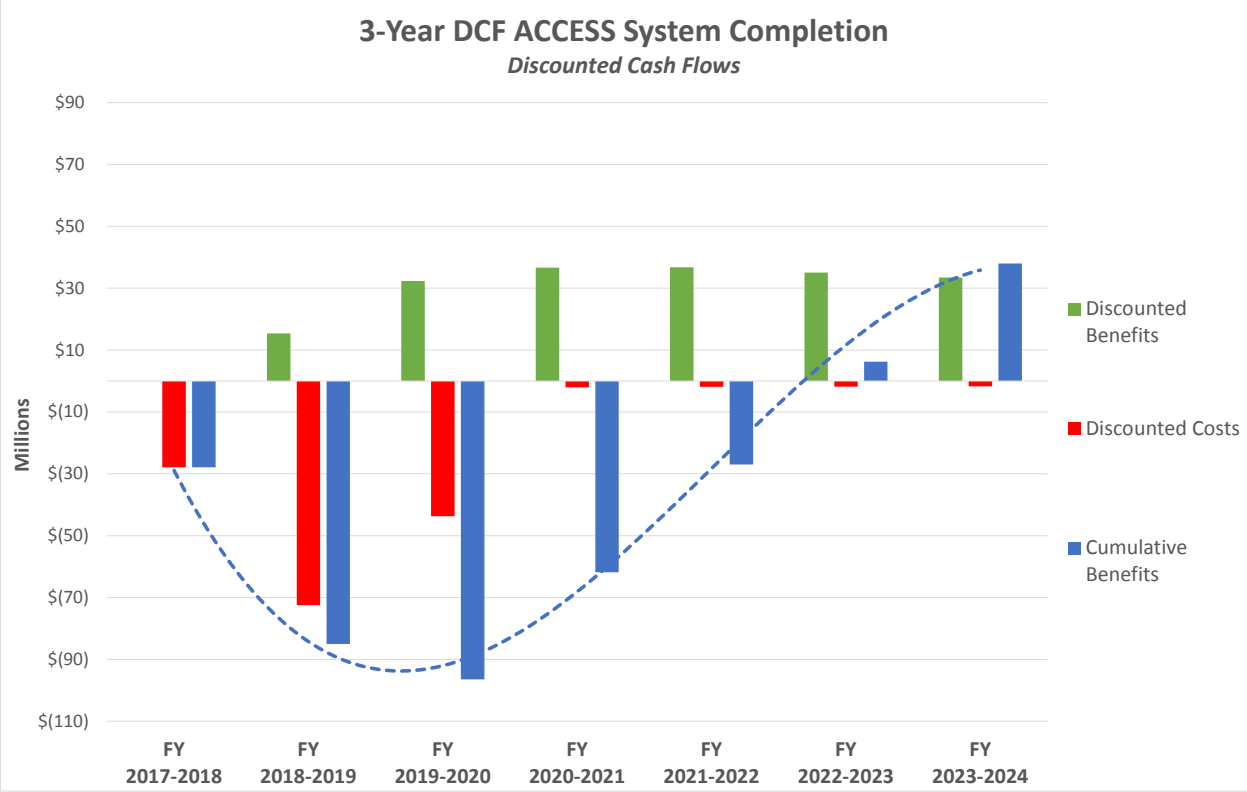


Exhibit IV-4 Alternative 2 Cumulative Discounted Cash Flow

V. Schedule IV-B Major Project Risk Assessment

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.

> ***NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.***

A risk assessment of the ACCESS System Completion Project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool collects the risk characteristics of the project based on response to 89 questions, organized into eight assessment categories. The results of the assessment are summarized below.

A. Risk Assessment Summary

The overall risk assessment for this project is rated as "High". Project risk was determined by the answers provided to the questions associated with the eight assessment areas found in the risk assessment tool. This rating reflects assessment ratings of "Low" in one of the eight assessment areas, "Medium" in four of the eight assessment areas and "High" in three of the eight assessment areas. The primary drivers for a high risk rating are the categories determined high risk based on the assessment:

- **Organizational Change Management** – The new system will enable increased self-service and cross organization integration capabilities. As a result, system changes are considered extensive. Extensive change can be a significant risk. For citizens, we expect the changes and time saving improvements to be acceptable even if they are different from current processes. For extensive changes impacting workers, the Department's workforce is adept at dealing with changes in process and organization, with a proven track record of previous projects.
- **Fiscal Assessment** – The size and elapse duration of the project are significant drivers in the overall risk classification for this category. Likewise, uncertainty around benefit amounts and timing are also contributors. Any statewide eligibility reengineering project would likely have a similar category risk level.
- **Project Complexity** – The proposed project is larger than any other project performed by the Department and involves more than 3 stakeholders. As a result, this assessment category is rated as High. For a project of this type a high risk level is expected for project complexity.

The overall risk assessment rating aligns with expectations for a project of this scope and type regardless of solution or approach. The categories where risk is classified as "High" are manageable and unlikely to undermine expected success or benefits of the program. Categories with high classification risks will see reduction within months of project start when a formal project management program, stakeholder sign-off and requirements finalization activities complete. Until the project and funding are approved, it is unlikely that additional effort to reduce identified risks would be prudent or appropriate.

The Department established a project management methodology that has led to multiple successful implementations over the past few years. One recent project successfully employing this approach was the Medicaid Eligibility System (MES) modifications to the ACCESS Florida system to ensure compliance with the Affordable Care Act (ACA). ACCESS MES was a multi-year, multi-million dollar project, interfacing with over 30 partner organizations. This initiative was completed on time and on budget. The Department intends to leverage past successes by utilizing the Project Management and IV&V methodologies used for that engagement and other successful Department initiatives, as described in Section VII Project Management Planning.

Exhibit V-1 is a graphical representation of the results computed by the risk assessment tool. When answering the questions in the risk assessment tool, it was assumed that the current project management and governance structure in place for managing ESS Program projects would remain in place for the project.

Not covered in this risk assessment is the ongoing assessment to re-platform the ACCESS Florida system and application to use modern server and data architecture that can be run in a cloud environment using an Infrastructure as a Service (IaaS) provider, similar to what is being considered for Florida Safe Families Network (FSFN). This study will be completed by December 31, 2016. Due to potential similarities in ongoing costs and benefits related to the ACCESS System Completion, the current projects will defer to results of this study once it is completed and available.

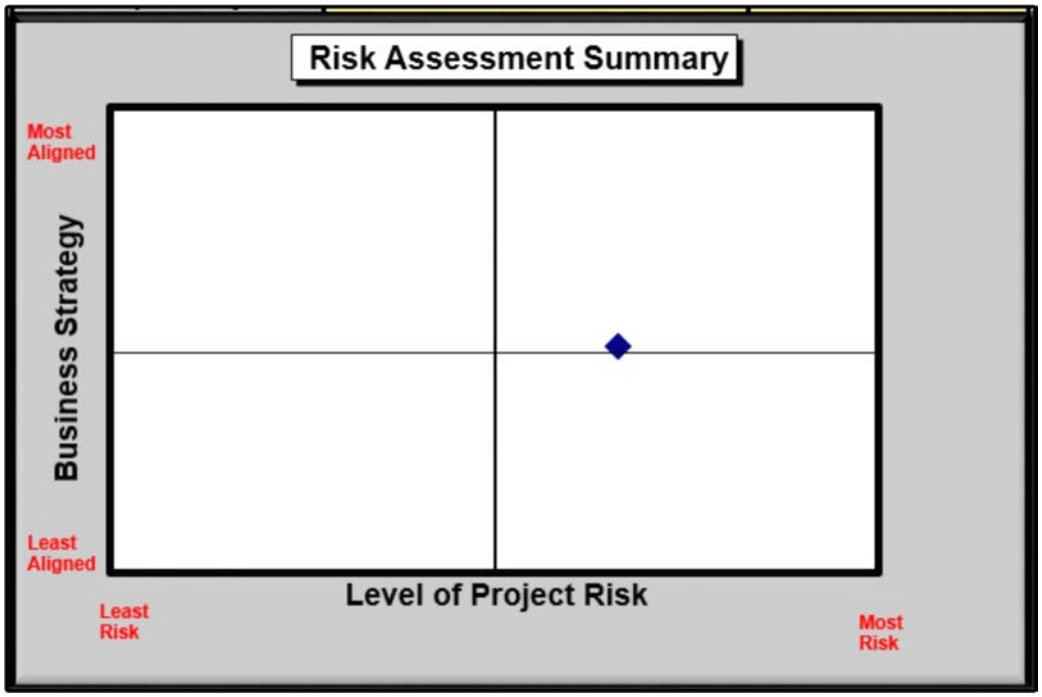


Exhibit V-1 Project Risk Assessment Summary

Specific items of Risk Assessment and Business Strategy alignment that contributed to the current risk assessment level of "High" overall and for the current placement of the project in the Risk Assessment Quadrant in Exhibit V-1 Project Risk Assessment Summary will be addressed within the first year of the project. These include:

- Strategic Risk
    a. Project objectives will be clearly aligned with DCF's mission and statutory charge
    b. Project objectives will be clearly documented and signed off by the stakeholders
    c. Project charter will be signed by the executive sponsor
    d. Project requirements, assumptions, constraints and priorities will be defined
    e. Portfolio management will be adapted to incorporate the expansion of the reengineering effort
- Technology Risk
    a. Detailed hardware and software capacity requirements will be defined
    b. Meet Federal mandates that require states to establish and implement critical privacy and security standards as outlined in the Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0.

- Change Management Risk
    a. Business process changes will be defined and documented
    b. Organizational Change Management Plan will be approved
- Communication Risk
    a. Communication Plan will be approved
    b. Communication Plan will promote the routine use of feedback (at a minimum)
    c. Stakeholders will be included in the Communication Plan
    d. Key messages will be documented in the Communication Plan
    e. Desired message outcomes and success measures will be documented in the Communication Plan
    f. Communication Plan will identify and assign needed staff
- Fiscal Risk
    a. Spending Plan will be documented and approved for the project lifecycle
    b. Project expenditures will be identified and documented in the Spending Plan
    c. Cost estimates for the project will be accurate within +/- 10%
    d. Funds will be available within existing resources to complete the project
    e. Tangible benefits will be identified and validated
    f. Federal financial participation will be requested and received
    g. Procurement strategy will be reviewed and approved
    h. Contract manager will be assigned to the project
- Project Organization
    a. Project organization and governance structure will be defined and documented
    b. Project staffing plan will identify and document all staff roles and responsibilities
    c. Change review and control board will include representation from all stakeholders
- Project Management Risk
    a. Requirements and specifications will be defined and documented
    b. Requirements and specifications will be traceable to specific business rules
    c. Project deliverables and acceptance criteria will be identified
    d. Work Breakdown Structure will be defined to the work package level
    e. Project schedule will specify all project tasks, go/no-go decision points, milestones and resources
    f. Formal project status reporting will be in place
    g. Planning and reporting templates will be available
    h. Known project risks and mitigation strategies will be identified

The overall project risk level will decrease from “High” when the above items are addressed. Additionally, addressing these items will shift the current placement of the project in the risk quadrant (Exhibit V-1 Project Risk Assessment Summary) to reflect a more accurate alignment with the Business Strategy not currently represented due to limitations associated with the risk assessment tool.

Exhibit V-2 Project Risk Assessment Summary Table illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place, business processes and requirements are fully mapped and defined, and the foundational technology elements have been implemented.

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

Exhibit V-2 Project Risk Assessment Summary Table

The Department's plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Section VII, Project Management Planning.

VI. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

Over the last several years, there has been a national trend of states significantly retooling or replacing their public assistance delivery systems. These implementations resulted in increased customer self-service and worker efficiencies. Florida has the opportunity to reap similar benefits through incremental enhancements to its existing systems. Further, the risk related to implementing a wholesale system upgrade is minimized by taking an incremental approach. The justification for these enhancements includes:

- **Need to address increasing number and sophistication of people attempting to commit fraud against the human service programs.** The ability to deliver needed services to the public is increasingly impacted by people and organizations that attempt to use the programs fraudulently. The number and sophistication of people and organizations that attempt fraud is growing rapidly. The public perception or actual occurrence of fraud can undermine public support for state government leadership and the programs that are provided to help people in need. Increased real-time integration and data sharing are key enablers to prevent and reduce the number of people and amount of money lost from fraud.
- **Growing need for holistic information about people across Department, system, and state boundaries to impact overall program costs.** For example, there is increasing focus on reducing the total administration and avoidable program spending for programs, including Medicaid, by focusing on the people that drive the largest avoidable costs. The research is indicating that social determinants are a major influence in the cost of health care other human service programs. Programs to identify and address people that are at risk of driving avoidable costs rely on many people that interact with the individual having access to complete and accurate information at the right time. The current systems are not structured to operate in the emerging models that target significant program cost reduction and improved health and social outcomes for people.
- **Increasing challenges and demands for Security and Data Privacy.** The core processing systems were built in a time when self-service, real-time information sharing, and data analytics considerations were not a possibility. Increasing external and internal threats to security and privacy have also grown dramatically. The current systems limit the ability to operate securely and protect the privacy of citizen information. For example, a typical worker has unique ids and passwords for up to 15 different systems that need to be used. Since these are not integrated the likelihood of people having to write down passwords or of them retaining access to some systems after leaving the Department creates risks to privacy.
- **A complex patchwork of aging software and hardware that does not support Florida's vision for its citizens.** The aging technology currently in place was never designed to handle the demands of the current (and future) business models. Even with the implementation of MES, it is increasingly impractical and expensive to support Florida's current model, let alone make the changes necessary to move the program into its desired state. As the Department becomes increasingly dependent on automated systems to perform rote business functions, a long-term technical strategy based on modern architecture, infrastructure, and hardware/software components is needed.
- **Need for efficiency with reduced operational funding levels**. During a period of dramatically reduced state revenues, government agencies are exploring mechanisms to increase efficiency and "do more with less." Beginning in 2003 Florida's public assistance Program began staff reductions that ultimately resulted in a loss of 43% FTEs and the closure of more than half of its brick and mortar offices. These reductions took place at the beginning of a period of unprecedented demand upon the system. DCF has taken advantage of a variety of new technologies, including establishing MES architecture, to meet this need, all without modifying the core of the FLORIDA mainframe. To gain further efficiencies the Department will need to invest in modern, fully integrated, and modular technology.

- **Data quality and customer expectations**. In an era of advanced technologies, both families in need and staff have reasonably come to expect systems that better support an automated self-service business model. Along with self-service options, the program's customers (families, staff, and state and federal partner agencies) expect, given the technologies available, the Department to provide an improved level of service, faster response times, and more accurate results. It is not possible to meet these expectations with the older technologies currently in use.
- **Loss of technical skills and resources.** Public assistance programs are technically detailed and complex. The Department has relied upon a highly trained staff to maintain the program. It takes time to get new staff functional in the policies, processes, and systems required to support the program. However, given frequent turnover among skilled staff from attrition and retirement, it is critically important that new technologies are easier to learn and understand and, where possible, help staff through increasing efficiency and automation. In addition, the Department is almost exclusively reliant on contract staff for system support. As contractors roll off projects, it becomes increasingly difficult to maintain knowledgeable contractors to continue supporting the system as well.
- **Limited scalability**. The introduction of MES architecture brought several advancements in the scalability of the most critical ACCESS Florida System customer facing application; i.e., the new Self-Service portal built with component-based multi-layer architecture. The new Self-Service portal consolidated several disparate silo applications into one platform to reduce the number of network calls between the subsystems. The new Vblock infrastructure with additional virtual CPUs and more virtual memory has been set up to support faster scaling. However, these advancements did not translate into the same level of scalability for other legacy ACCESS Florida Systems including the mission-critical FLORIDA (system of record) and AMS Worker portal, IBRS and ADI systems. The scalability of these legacy systems is limited by archaic, hierarchical databases and application code. Without significant modifications in the underlying architecture of these older systems, the sustained caseload and workload and their rate of growth will pose an enormous burden on the Department in meeting the scalability constraints.

1. Current System

Automation of Florida's ESS programs first went online in 1992 with the implementation of the FLORIDA mainframe system. In 2003, the Department began to develop additional modern systems to interface with the mainframe. As the plan for improved technology began to evolve, it was determined that certain functionality desired by the Department, such as using customer entered data from the web applications in the mainframe, could not be fully satisfied by the mainframe alone. This led to additional development of applications independent of, but connected to the mainframe. These applications included newer technology such as Visual Basic, .NET, and Java. This now leaves the Department with a series of interfaces between multiple platforms and technologies that are challenging and costly to operate and maintain.

a. Description of current system

The description of the current ACCESS Florida System in the Technology Planning of this document reflects functional and technical enhancements implemented in December 2014.

1) General system overview

The ACCESS Florida System is comprised of a set of integrated front-end applications and background processes that together facilitate administration of the DCF ESS programs. The following diagram depicts the high-level architecture of the supporting systems:

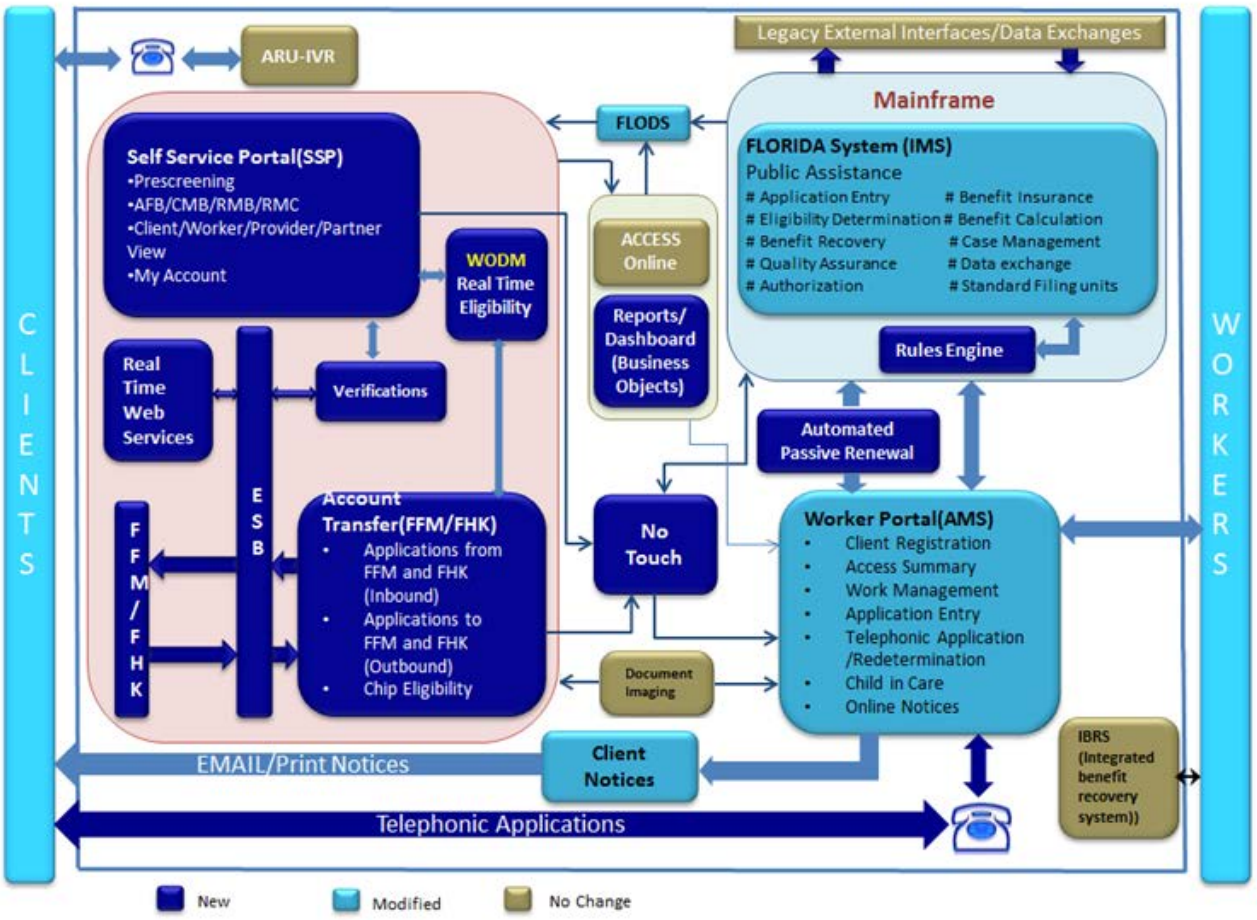


Exhibit VI-1 Current ACCESS Florida System Architecture

The following outlines the high-level functionality of each of the "components" of this architectural framework.

- **FLORIDA** – FLORIDA is the legacy mission-critical system that contains the business rules, workflow and interfaces for the public assistance programs. The system is written in IBM COBOL. The FLORIDA System is hosted on an IBM Mainframe SYSPLEX environment. It uses IMS Database (DB) and Transaction Manager (TM) capabilities. The FLORIDA system is comprised of Integrated Eligibility functions for SNAP, TANF, and Medicaid programs.
- **ACCESS Management System (AMS)** – AMS is web based intranet application used by the DCF staff and call center agents to manage caseload and call center operations. AMS is integrated with FLORIDA system and the Self-Service Portal to allow DCF workers to perform Client Registration and Intake processing through a web interface. The business rules remain in FLORIDA. This system does not replace FLORIDA functionality; rather it takes advantage of using customer-entered data in the web applications along with providing staff a web friendly environment to work in. IMS CONNECT is an application program interface product of IBM and enables access to mainframe transactions from AMS and other web applications. The application is written in Java with an Oracle back-end.
- **ACCESS Online** – ACCESS Online includes Exception Management System, Quality Management System, legacy Data & Reports, Knowledge Bank and other applications.

- **ACCESS Document Imaging (ADI) System** – The ADI provides an integrated approach for storing documents used to determine eligibility and support benefit recovery, quality control, and ACCESS Integrity findings. The document imaging system allows staff statewide to scan documents and then access those documents, as needed, from any computer statewide that has access to the intranet inside the DCF firewall. The system also includes workflow functionality to facilitate routing and processing of documents. This application is written in .Net with a SQL back-end.
- **ACCESS Self-Service Portal (SSP)** – The SSP uses eligibility rules based on predefined criteria to allow customers to apply on-line for selected benefits. The system supports streamlined application for medical assistance, Children's Health Insurance Program (CHIP), and other insurance benefits. The SSP architecture integrates several shared services using a framework-based approach for federal verifications, state verifications, and real-time eligibility determination for modified adjusted gross income (MAGI) based medical assistance groups and CHIP. This application is written in Java and Oracle.
- **No-Touch** – No-Touch is a standalone automated batch process that executes the same transactions executed by Case Workers to complete the processing of MAGI based Medicaid applications that are complete and have all the verifications. This process uses IMS CONNECT interface to transfer data to Mainframe and executes the required transaction. This application is written in Java, Oracle, and IMS CONNECT interface.
- **Reporting and Analytics** – SAP Business Objects Platform to facilitate DCF staff use standard reporting, ad-hoc reporting, and data visualization capabilities. Crystal reports, WEBI, and Xcelsius are used to develop the reports.
- **Client Notice (ExStream) System** – ExStream is an HP software platform used by DCF to create, manage, and deliver printed notices as required by government mandates for various state-administered public assistance programs, including SNAP, TANF, Medicaid, and Refugee Assistance. Currently, notices are formatted through ExStream, transferred via FTP to an external vendor (Novitex) for printing, and mailed through the United States Postal Service. Approximately 70,000 to 100,000 notices are transmitted for printing and mailing nightly through a batch process.
- **Food for Florida (FFF)** – FFF is a stand-alone application that was created as the State's Emergency Food Assistance (EFA) application after the destructive 2004/2005 hurricane seasons. The system features multiple modules that include a client facing self-service application that allows customers to pre-register (apply) for benefits over the Internet, a disaster service site worker module that allows DCF staff to review and approve or deny applications, and issue EBT cards for approved applications, as well as a function to allow for the processing paper applications. In addition, the FFF central module features a broad range of functions that include administrative activities to manage disasters, disaster areas, service site locations and users in addition to the capabilities for the backroom processing of paper based applications (paper or image). The FFF system functions in unison with the mainframe FLORIDA system for case creation, benefit calculation, and issuance through the EBT vendor interface. In 2010, the Department built an interface with the Federal Emergency Management Agency (FEMA) that allows the public to submit EFA applications to FFF through FEMA's disaster assistance website. This system is written in Java with Oracle back end.
- **Account Transfers & Interfaces** – The Account Transfers and Interfaces module is designed to allow DCF to exchange information with Federal, State, and third party agencies via real-time web services and FTP batch processes. In addition to the existing batch interfaces, DCF has developed/configured number of real-time verification services as part of Affordable Care Act implementation. The verification services include FDSH for verification services, Florida Healthy Kids to send or receive applications, SWICA to verify state income, Agency for Health Care Administration to receive enrollment data, FSFN to verify children aged out of foster care, Florida DOH/Children's Medical Services Network (CMSN) for the determination of clinical eligibility based on applicant/customer input. These interfaces are developed in Java, ESB, and Oracle database.

- **WebSphere Operation Decision Management (WODM, IODM) Rules Engine** – The WODM external business rule engine has been implemented to host MAGI based Medicaid rules exposed to internal and external applications through Enterprise Service Bus. This provides flexibility to allow same rules execute in both Florida ACCESS and Open systems. These rules support the Self-Service Portal Real-time Eligibility and Screening modules, FHK CHIP Eligibility, and ACCESS Eligibility system.
- **Interactive Voice Response** – The IVR application allows customers 24x7 toll-free access to information about their public assistance case status, eligibility and benefit information, appointment details, verification items required, and information on other ESS programs. Customer input is received via telephone and interpreted by a voice response server. This server is outside the Department firewall and is hosted by a third-party vendor. The voice response server uses stored procedures to access the DCF Oracle databases and retrieve information in response to the customer inquiry. Benefits data is extracted from FLORIDA and loaded into the Oracle database tables on a nightly basis.
- **Telephonic Applications** – Telephonic application functionality allows operators to submit applications on behalf of customers.
- **Integrated Benefit Recovery System (IBRS**) – The State of Florida BR program for recovering overpaid benefits, referring, and reporting related information to the Federal Government uses IBRS. A fully functional and consolidated BR system maintains all customer, budget, claims, and accounting data on a single web-enabled platform. This simplifies the claims, collections, accounting, reporting and monitoring activity of the BR management and staff. The system is written in JAVA with a SQL back end.
- **Florida Operational Data Store (FLODS)** – FLODS began as a relational database to store the last 13 months of data for use by the AMS. Over time, it has grown into a consolidated source of data for several systems that need real-time access to data in the official systems of record. FLODS is not categorized as a system, but consists of processes on the IBM mainframe to extract data from the FLORIDA system and transform it for easy loading into relational tables. On a nightly basis, hundreds of processes run to extract and transform data to support customer and staff facing web applications.

2) Internal and external interfaces

There are a number of major internal and external interfaces within the multiple applications that support the ESS Program. Internal interfaces are reflected on the architecture diagram above. External interfaces include:

- **FDSH (Federal Data Service Hub)** – SSA Composite (SSN, ID, Date of Birth, Death, Incarceration) verifications for Medicaid eligibility, Verified Lawful Presence (VLP) service for the verification of citizenship for Medicaid eligibility, Remote Identity Proofing (RIDP) and FARS services for validating authenticity of Individuals.
- **Lexis Nexis** – ID verification for non-Medicaid or composite applications.
- **AHCA (Agency for Healthcare Administration)** – The State Medicaid Agency, receives Medicaid eligibility information from FLORIDA system through an interface with the Florida Medicaid Management Information System (FMMIS).
- **FIS** – SNAP benefits are distributed through EBT ACCESS card.
- **DACS (Department of Agriculture and Consumer Services)** – Direct Certification program as the Client Verification service used by vendors participating in the mandated Lifeline program.
- **DEO (Department of Economic Opportunity)** – State wage data, national new hire data, program sanctions, and job placement, out of state unemployment, and in state unemployment. Department staff also has individual on-line access to the SUNTAX System.
- **DOR (Department of Revenue)** – Child Support Enforcement sanctions.
- **DOH (Department of Health)** – Vital Statistics.

- **SSA (Social Security Administration)** – Bendex data, numerical identification, prisoner data, SSI data, and work history for non-citizens for 40 quarters. Department staff also has individual on-line access to SSA's database to verify customers SSN, SSA, and SSI information.
- **DHS (Department of Homeland Security)** – Department staff has individual on-line access to the Systematic Alien Verification for Entitlement database.
- **IRS (Internal Revenue Service)** – Unearned income data from form 1099.
- **DMS (Department of Management Services)** – Florida Retirement data.
- **DOE (Department of Education)** – School age children dropouts and truant data.
- **FFM (Federally Facilitated Marketplace)** – The Department transfers ineligible Medicaid applications and ineligible/terminated Medicaid Case information to FFM via an account transfer process. It also receives applications from FFM for Medicaid eligibility determination.
- **FHK (Florida Healthy Kids Corporation)** – The Department transfers ineligible children Medicaid applications/cases to FHK. It also receives applications from FHK for screening and determining for potential eligibility for Medicaid.
- Electronic application transfers through third party agencies.

3) Requirements for public access, security, privacy and confidentiality

Confidentiality is a hallmark of the ACCESS Florida System. Most applications are only accessible to authorized DCF staff from the DCF network. The client-facing web applications access data through firewalls and gateways, which provide a secure encrypted network to prevent unauthorized access to sensitive information while it is in transit over the internet.

ACCESS Florida and its supporting systems are compliant with the provisions of DCF Information Technology Services SOP S-13, Data Security Administration, and other applicable data security and privacy standards.

4) ACCESS Systems and technology platforms

The table below lists the related technology platforms supporting the ACCESS Florida Systems

System	Technology Platform
Florida Online Recipient Integrated Data Access (FLORIDA) System	COBOL, Telon, IMS, WODM
ACCESS Management System (AMS)	Java, JSF, Oracle, TopLink, Hibernate
Customer Self-Service Portal (SSP)	Java, Struts, Spring, Oracle
Medicaid Eligibility System (MES) Real Time Eligibility (RTE)	Java, WODM
Medicaid Eligibility System (MES) Interfaces	Java, Message Broker Services, Data Power
ACCESS Document Imaging (ADI)	.NET, Oracle, Lead Tools, Atalasoft
Client Notices (CN)	Exstream, Java, COBOL
Interactive Voice Response (IVR) or ACCESS Response Unit (ARU)	Oracle, Avaya
FLORIDA Operational Data Store (FLODS)	COBOL ETL, Oracle

System	Technology Platform
Data and Reports (D&R)	.NET, SQL Server
Integrated Benefit Recovery System (IBRS)	Java, SQL Server
Medicaid Eligibility System (MES) Reporting	Pentaho Kettle, SAP BOE
Food for Florida (FFF)	Java, Struts, Oracle
Community Partner Tracking System (CPTS)	.NET, SQL Server
User Administration	.NET, SQL Server
SUNCAP Web Reports	.NET, SQL Server
ACCESS Integrity (AI)	.NET, SQL Server
Exception Management System (EMS)	.NET, SQL Server
Quality Management System (QMS)	.NET, SQL Server
Quality Control (QC)	.NET, SQL Server
Power Tools	Visual Basic 6
Access Fraud and Reporting	.NET, SQL Server
Access Knowledge Bank	.NET, SQL Server
FFF Volunteer System	.NET, SQL Server
Application Packets	.NET, SQL Server
Interfaces and Data Exchanges	COBOL, IMS, Java, Oracle PL/SQL, Message Broker Services, Data Power, Connect Direct, CyberFusion, FTP, SFTP

Exhibit VI-2 ACCESS Florida Systems and Technology Platforms

5) Total number of users and user types

The table below lists the functional users of the ACCESS system by role.

Full-time State Employees	# in Role
Economic Self-Sufficiency Specialist I	2,542
Quality Control Analyst	21
Economic Self-Sufficiency Specialist II	432
ESS Supervisor / QC Supervisor	331
Operations Analyst / Program Specialist	189
Interviewing Clerk	459
Accountant / Revenue Specialist	21
Administrative Assistant / Staff Assistant	74
Program Administration	43
Program Management	6
Full-time Employee Total	**4,118**
Other Personnel Services (OPS)	**Total**
Economic Self-Sufficiency Specialist I	59
Economic Self-Sufficiency Specialist II	1
Operations Analyst / Program Specialist	10.5
Interviewing Clerk	23
Accountant / Revenue Specialist	1
Administrative Assistant / Staff Assistant	12
Computer System Analyst	3.5
Part-time Employee Total	110
Grand Total	**4,338**

Exhibit VI-3 Current ACCESS Functional System Users

6) Number of transactions handled by current system

The IBM mainframe hosts approximately 7,000 user sessions each business day. During the reporting period from July 1, 2015 to June 30, 2016, the system processed an average of 16,003,393 transactions per day (see Exhibit VI-4 Average Daily Transaction Count by Month below) with a maximum daily transaction count of 19,317,606 during that period (Exhibit VI-16 FLORIDA System Metrics).

Month	Average Daily Transaction Count
July 2015	16,248,112
August 2015	16,182,659
September 2015	16,468,218
October 2015	16,348,033
November 2015	15,371,496
December 2015	15,687,537
January 2016	17,090,844
February 2016	16,382,325
March 2016	15,735,215
April 2016	15,958,263
May 2016	14,834,057
June 2016	15,733,958
Average	16,003,393

Exhibit VI-4 Average Daily Transaction Count by Month

7) Hardware characteristics

Exhibit VI-5 Current Mainframe Hardware Characteristics lists the hardware characteristics of the IBM mainframe.

Current Mainframe Hardware Characteristics	
Platform	FLORIDA runs on an IBM BC13:z13s – R05 (Model 2965-R05) mainframe computer with Serial# CF8B7. This is a Five CPU, 3 zIIP processor, 184 GB central storage and the operating system is z/OS.
Performance	315 million service units (MSUs)
	2545 purchased million instructions per second (MIPS)
	2545 active MIPS
Logical Partitions (LPARs)	The **FLIA** LPAR is used for FSFN non-production environments Dev/Test and UAT/Training. FLIA houses two DB2 subsystems to support the above-mentioned environments. FLIA is also used during the system testing, and stress testing by the new FSFN builds.
	The **FLIC LPAR** is used for generic batch job runs such as FLORIDA security audits. No usage-based subsystems are available here; therefore, heavy batch processes do not impact monthly software billing.
	The **FLIF** LPAR is used for all FLORIDA nonproduction Dev/Test, Acceptance and System test for DCF (10 IMS regions) and a part of the FLORIDA production batch cycles. DB2 Ad Hoc reporting for FLORIDA.
	The **FLIH** LPAR is used for FLORIDA production online transactions and production batch processes (IMS).
	The **FLIM** LPAR is used for operating system test.
	The **FLIN** LPAR is used for the sysplex network (production) and OMEGAMON (Monitoring tools).
	The **FLIS** LPAR is used for the FSFN production DB2 database.
	The **FLIT** LPAR is used for subsystem installation verification.
	The **FLIZ** LPAR is used for operating system test.
Processor Units	1 – Internal Coupling Facility (ICF) Processor
	1 – Integrated Facilities for Linux (IFL) Processor
	3 – System z Integrated Information Processors (zIIP)
	1 – System z Application Assist Processors (zAAP)
I/O Capacity	8 ports – InterSystem Channel (ISC) coupling links
	8 ports – Fibre Connection (FICON) E8s LX2P (0409)
	8 ports – FICON-E8s SX2P (0410)
	16 ports – FICON-E16s LX 2p (0418)
Communications	8 ports – OSA5s-GbE-SX 2p (0414)
	4 ports – OSA53-1000BT 2p (0417)
Disk Storage	1 – EMC DLm6000 virtual tape library
	1 – Hitachi Data Systems VSP (virtual storage platform) Disk

Exhibit VI-5 Current Mainframe Hardware Characteristics

b. Current system resource requirements

The paragraphs below outline information on the general hardware and software resource requirements associated with ACCESS and its supporting systems.

1) Summary of current maintenance and operations cost

Exhibit VI-6 Current ACCESS Florida System Maintenance & Operations Costs lists the current annual maintenance and operating costs for the ACCESS Florida System. Included are the costs incurred at the AST Data Center to host both mainframe and midrange services and the system integrator cost to operate the ACCESS Florida System and provide small ongoing enhancements.

Cost Category	Annual Cost
AST Mainframe Maintenance & Operations	$10,249,350
AST Midrange Maintenance & Operations	$1,085,291
ACCESS Florida System Integrator Maintenance & Operations	$2,500,000

Exhibit VI-6 Current ACCESS Florida System Maintenance & Operations Costs

2) Staffing requirements

ACCESS and its supporting systems are supported and maintained by a staff consisting of a combination of state employees and contractors. The current ACCESS Application Services organization chart is shown below.

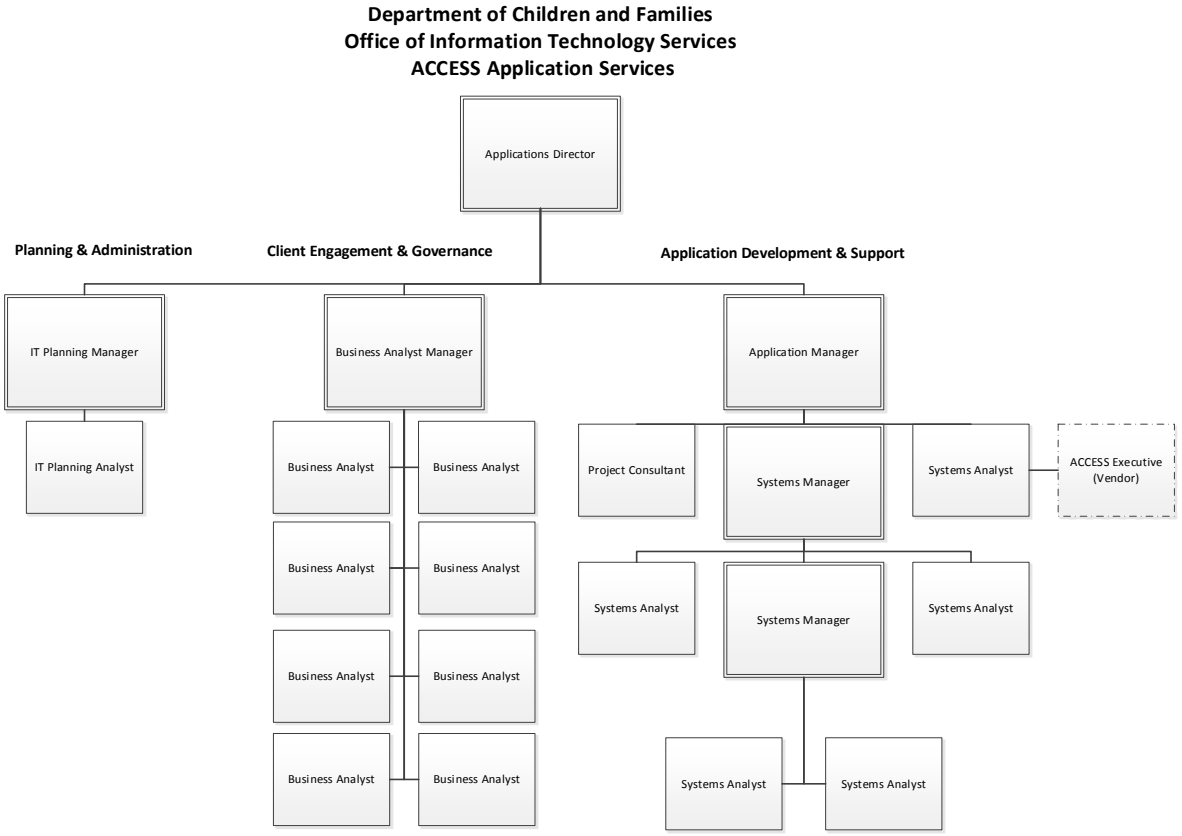


Exhibit VI-7 Current ACCESS Florida System Maintenance Staffing

c. Current System Performance

The new MES architecture brought highly configurable, multi-layered Service Oriented Architecture (SOA) based sub-systems to the Department's IT assets. The system is meeting the ACCESS program demands adequately and able to match or better pre-MES application processing standards. The introduction of a rules-based architecture along with Real-time Eligibility and No-Touch processing significantly improved the automated case processing without worker intervention. This improvement in the ability of the systems to tackle workload requirements is not expected to last long because of the inconsistencies and limitations in Eligibility and No-Touch processing functions with respect to the ACCESS programs. These inconsistencies will eventually lead to system reliability and performance issues without all underlying mission-critical systems being under the umbrella of the overarching MES platform.

Integrating technology enhancements into an overall system completion effort will automate many of the Department's business functions and boast numerous advancements, including:

- Reduction in operating costs
- Elimination of many manual business processes
- Better customer service
- Flexible platform to accommodate legislative and policy changes
- Real-time processing of many routine activities
- System-driven workload balancing
- Reduced overpayment and fraud
- Higher employee productivity through increased process automation and enterprise-wide access to information

2. Information Technology Standards

ACCESS and its supporting systems are compliant with the applicable Information Technology Standards outlined within the DCF Information Technology Services Standard Operating Procedures (SOPs).

B. Current Hardware/Software Inventory

The ACCESS Florida mainframe is hosted by AST State Data Center. Exhibit VI-8 Current Mainframe Hardware Inventory and Costs and Exhibit VI-9 Current Mainframe Hardware Maintenance Costs list the major hardware components of the IBM mainframe and associated infrastructure, along with the corresponding support costs. Exhibit VI-10 Current Mainframe Software Maintenance Costs lists the associated software inventory maintenance costs associated with the FLORIDA mainframe system.

1. Hardware Inventory

Description	Lease / Purchase	Date Acquired	Lease Terms	Cost	Annual Cost
IBM z114 Mainframe	Leased	7/1/2016	3 years	$35,556.08 / month	$426,672.96 / annual
(2) Visara Console Controllers	N/A	N/A	N/A	N/A	N/A
McData FICON Director	N/A	N/A	N/A	N/A	N/A
(2) IBM FICON Switch	N/A	N/A	N/A	N/A	N/A
IBM 9032-2 ESCON Director	N/A	N/A	N/A	N/A	N/A
IBM 9032-5 ESCON Director	N/A	N/A	N/A	N/A	N/A

Description	Lease / Purchase	Date Acquired	Lease Terms	Cost	Annual Cost
STK Tape Robotics	N/A	N/A	N/A	N/A	N/A
EMC Virtual Tape	Purchase	6/1/2012	CEFP 5 Years	$9,443 / month	$113,316.00 / annual
HDS – VSP Disk	As a Service	2/1/2014	3 years	6228	$74,736

Exhibit VI-8 Current Mainframe Hardware Inventory and Costs

2. Hardware maintenance costs

Vendor	Product	Maintenance Cost	Annual Cost
IBM	9032-2 ESCON Director	N/A	N/A
Oracle	STK SL-8500 Robotics	N/A	N/A
Specialty Underwriters	McData FICON Director	N/A	N/A

Exhibit VI-9 Current Mainframe Hardware Maintenance Costs

3. Software maintenance costs

Vendor	Cost	Annual Cost
ASG Software Solutions	$49,165.52	$49,165.52 / year
BMC	$536,823.00 / quarter	$2,147,292.00 / year
ChicagoSoft	$36,921.00	$36,921.00 / year
Computer Associates	$307,908.98 / quarter	$1,231,635.94 / year
Compuware	$111,664.15 / quarter	$446,656.60 / year
DTS	$30,000.00	$30,000.00 / year
IBI	$34,849.60	$34,849.60 / year
IBM (mainframe OS software, including IMS, DB2, Netview)	$199,148.56	$2,389,782.72 / year
IBM Guardium	$29,244.00	$29,244.00 / year
IBM Omegamon	$39,622.97	$39,622.97 / year
IBM SoftwarExcel	$13,697.38	$164,368.60 / year
IBM WebSphere	$34,372.43	$34,372.43 / year
Knowledge Flow Corp.	$2,043.75	2043.75 / year
Levi, Ray & Shoupe	$24,936.00	$24,936.00 / year
MacKinney	$995.00	$995.00 / year
Merrill	$1,500.00	$1,500.00 / year
New Era	$6,201.56	$6,201.56 / year
PACE	N/A	N/A

Vendor	Cost	Annual Cost
PitneyBowes (now Novitex Enterprise Solutions)	$27,000.00 / year	$27,000.00 / year
SAS	$32,408.25	$32,408.25 / year
Sterling (IBM)	$37,348.20	$37,348.20 / year
SyncSort	$29,185.50	$29,185.50 / year
Vanguard	$46,494.00	$46,494.00 / year

Exhibit VI-10 Current Mainframe Software Maintenance Costs

C. Proposed Technical Solution

1. Technical Solution Alternatives

The current technology of the ACCESS Florida System is not efficient and drives less than optimal effectiveness for operations. Current technology constrains and reduces the outcomes for the public and the Department. There is a business need to infuse and leverage technology to achieve a higher state of operational efficiency. The gains in operational efficiency from the infusion of modern, modular, and maintainable technology will allow the Department to more nimbly implement system completion initiatives focused on improved outcomes and customer self-sufficiency. The new technology approach should provide for Customer self-service functionality via mobile devices, continue meeting the needs for public access, security, privacy and confidentiality, and meet Federal Center for Medicaid and Medicare (CMS) conditions and standards for:

- **Modularity** – Use of a modular, flexible, agile approach including the use of open interfaces
- **MITA standards** – Aligned and continued advancement in the Medicaid Information Technology Architecture
- **Industry compliance** – Alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards
- **Leverage** – Promotes sharing, leverage, and reuse
- **Business results** – Supports accurate and timely processing of eligibility
- **Reporting** – Has the capability to produce reports supporting program evaluation, continuous improvement in business operations, and transparency and accountability
- **Interoperability** – Supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions

There are 5 technical solution alternatives that address the system completion needs to achieve goals for the Department and the Public.

1. Commercial Off-The-Shelf (COTS) Purchase(s)
2. Custom Development / Transfer
3. SaaS Procurement
4. Hybrid / Cloud-Enabled Components
5. Technology Re-platform of existing system

The following section provides a description of each option under consideration.

a. Option 1: COTS Solution(s)

COTS solutions are commercially available products typically sold to multiple customers without customization. COTS product evolution, support, and enhancement are provided by the vendor using recurring software

maintenance charges. COTS products frequently can be configured or extended to meet customer specific needs by a system integrator. Major vendors have state-level production system implementations of eligibility processing systems supporting multiple human service programs... Customizations to a COTS solution are often required to meet state specific business requirements, rules, and policy needs. Also COTS eligibility system product solution that could be used to replace Florida ACCESS processing would integrate and use other COTS products that perform best of breed specialized processing (image processing, identity management, AVS, etc.).

b. Option 2: Custom Development / Transfer

The Department also has the option to develop a custom solution with a vendor. Custom solutions typically originate from the custom solution of another state. It is highly unusual (and risky) to custom-build a new solution from scratch. This option can meet specific, unique business needs, but often comes at a high cost and requires multiple years to complete.

c. Option 3: SaaS Procurement

Another potential technical solution option under consideration is replacing ACCESS Florida System components with Software as a Service (SaaS) solution. This option is replacement of the various functional components of ACCESS with purchased or customer developed software that is serviced or hosted on a third party data center accessed over the internet or Cloud services.

d. Option 4: Hybrid / Cloud Enabled Components

This technical solution option is replacement of specific ACCESS Florida System components with a combination of COTS, SaaS and custom component solutions. All components of the new system could be implemented as a Cloud-based component solution. This technology option would meet CMS requirements for a solution with a strategy to implement smaller components. CMS is guiding states to provide greater speed to value, reuse within the Medicaid Enterprise, more vendor competition, a phased implementation approach, and reusable solutions from other states.

e. Option 5: Technology Re-Platform

This technical solution option is to re-platform the current application and system to use modern server and data architecture that can be run in a cloud environment using an Infrastructure as a Service (IaaS) provider. The re-platforming effort would not change or enhance system functionality. This is the approach proposed for Florida Safe Families Network (FSFN) system. There is a current DCF study underway to assess this option. The ACCESS Florida IV-B will defer to results of this study once completed and available.

2. Rationale for Selection

The need for a real time single source of truth for business data is now fundamental to meet the business processing needs of today and the future. The expectations and requirements of modern systems are quite different from the requirements that drove development of the Florida legacy system. The table below compares the technology characteristics of the ACCESS Florida Legacy Systems and an expected Modern System. The table highlights how the requirements for a modernized system have changed to be always available, more connected and more secure:

Solution Alternative Technology Characteristics Considerations		
Item	**Legacy System Characteristics**	**Modern System Characteristics**
Hours of Operation	• Online primarily business hours; • Online citizen usage 24x7, batch cycle evenings, some scheduled system wide maintenance outages	• 24x7
Users	• Internal workers	• Internal, external, and public

Solution Alternative Technology Characteristics Considerations		
Item	**Legacy System Characteristics**	**Modern System Characteristics**
User Authentication and Access	• Internal system	• Federated authentication extending to external organizations
User Interface	• Fixed character screens	• Graphical, browser, mobile device
Integration	• Data replication; Data extract, transformation and load (ETL) • Fixed format file interfaces • File transfer	• Real-time data access • Web services • REST, XML data
Data Sharing	• External within state enterprise (other state systems)	• Public sector, private sector, academic organizations and citizen
Security	• Emphasis on firewall and perimeter security; Trusted internal staff and infrastructure	• Security hardening in every system component; • Encryption of data at rest and in motion; • Highly restricted data access
Reporting	• Extract to data repository • SQL-based reports	• Real-time operational reporting • Dashboards • Predicative analytics
Business Rules	• Embedded in custom application system logic	• Use of rules engine • Written in natural language
Processing Triggers	• Batch file records • Online user-entered data	• Messages and event-based from asynchronous and real time messages (often via an ESB)
Batch Processing	• Processing nightly driven by mainframe processing capacity / cost and database locking issues	• Processing can be run any time • Asynchronous updates
Workflow	• Custom-coded to manage human tasks and work queues of a business process steps performed internally in the organization • Low visibility to status of specific process or overall backlogs and slack resource utilization • Complex to change	• Manages human and machine tasks performed internally and external to the traditional organization • Processing status transparency with internal and external stakeholders • Dynamic workflow definition and updating
Architecture Services	• Custom-developed	• Service-oriented architecture • Use of “Best-of-Breed” COTS components or software services
Application Ownership	• Internally-owned asset	• COTS, Software as a Service • (SaaS)
Application Development Strategy	• Custom development or • Customize a transfer system	• COTS
Application Customization	• Business rules defined and applications customized in response	• Align Business Rules to Match Application Capabilities

Solution Alternative Technology Characteristics Considerations		
Item	**Legacy System Characteristics**	**Modern System Characteristics**
Application Maintenance	• In-house on-site • Contracted hourly resources	• SaaS • Off shore resources • Application maintenance provider task-based contracting
Infrastructure	• Mainframe • Dedicated servers • Using internal hosting services	• Cloud-based • Software as a Services (SaaS) or Infrastructure as a Service (IaaS)
Federal Funding Support	• Big-bang solutions to single vendor	• Preference for small interoperable component implementation • Use of COTS, SaaS, Cloud

Exhibit VI-11 Comparison of Legacy and Modernized System Technology Characteristics

The section below describes key technology considerations and rationale for each the technology characteristics above.

Hours of Operation / System Availability

Any significant system completion initiative for a system supporting a large number of users should require 24x7 application availability and continuous processing. Today, high availability systems with no single points of failure and automated failover of clustered components are a basic expectation.

Users

The expected number of system users should consider that external users have not historically used the system directly, and that they might begin to use the system either directly or via real time web service access. To support an undetermined number of users the application and hosting infrastructure must be horizontally and vertically scalable. Additionally, licensing terms should avoid per user licensing arrangements and restrictions.

User Authentication and Access

User authentications and access controls are important considerations in differentiating technology solution alternatives. The existing systems have internal authentication and internal access controls within each application system. For workers this means they must keep multiple ids with multiple passwords. Architecturally, there are advantages for externalizing access controls from custom application logic. One area for consideration is whether an identity and access management system will support federated access controls. Federated access control is used when an external organization is granted access to use the system with user authentication and role based management done by the external organization.

User Interface

A standard requirement for almost every modern system is to use responsive graphical design techniques. Responsive design means that the application will be optimized for any device. Mobile device usage has a substantial and growing share and mobile device support should be assumed as a significant volume of transactions.

Integration

The expectation of real-time or near real-time integration should be the *de facto* expectation for interface processing in the modernized system. Legacy integration strategies of database replication, cross system data synchronization, file extracts, and other bulk data transfer strategies are being replaced for many reasons. The major reasons being the challenges of data privacy protection and the complexities and overhead of duplicated data. For the modernized

system, the use of web services is a default expectation for transactional data sharing. Architecture requirements should use secure web services. Often an Enterprise Service Bus (ESB) is a component of the modernized system that provides a single point of access, common architecture services, and common processing controls for integration. Representational State Transfer (REST) based services are currently the standard for efficient data integration especially supporting mobile device interfaces.

Data Sharing

While there are many interfaces in the current system, the Department should expect data sharing to increase. Data sharing can be complex, especially when dealing with sensitive information or personal information. For this reason, there have been some delays and barriers to sharing data across system and organization boundaries. We expect that the benefits of data exchange are too significant to be a long-term deterrent to data sharing.

The system should secure robust support for data sharing. COTS solutions generally have dealt with this issue, and continue to stay current with industry trends, standard data sharing formats, and data sharing regulations.

Security

Security is an important consideration in system completion. The security threats and challenges that all systems, and government systems in particular, face can consume significant resources. This factor alone may be significant enough to influence the recommended system completion approach.

COTS products will generally have a significant advantage in this area because they invest in security architecture, and perform ongoing vulnerability scans and analysis of application and infrastructure. In addition, because their solutions are in use in more locations, the products benefit from the cumulative experience of all customers, which is incorporated in security and data loss prevention techniques.

It is common for systems that run on mainframes to run in state hosting data centers, or run in Department hosting facilities that emphasize keeping bad actors outside the environment. In the legacy system environment most emphasis goes to firewalls, identity, and access controls. There is little emphasis on encryption and controls for information that is moving around within what is considered a safe space. The modernized solution should require encryption for both external connections to the system and internal connections within the system. Likewise, a requirement for database encryption and encryption of transmission should be base requirements. Further, most, if not all, system administrators should not be able to access system data.

Reporting

From a technology perspective, the primary reporting considerations include:

- Data Model Updates
- Data Marts
- Tools
- Access
- Existing Reports

If the modernized systems use a COTS product, the COTS data model will be different from the current system data model. Even if current system data is migrated to data marts or a data warehouse for reporting, effort will be required to rework reports if a new or enhanced data model is used. A new COTS data model will have additional data and data types that allow enhanced reporting. It is important to specify expectations related to reports, because COTS vendors provide limited out of the box reports and often expect customers to customize or develop their own specific reports.

The current systems use reports as a tool to manage and assign work or to communicate outside the organization. Most COTS products and SaaS solutions will have increased online capabilities and real time integration capabilities

that can eliminate the need to use current reports to manage and communicate. Therefore, the number of reports needed in the new system may be significantly less than the number or reports used in the existing systems.

Most customers will use an external reporting tool even if COTS products provide some base report development, customization, or delivery capability.

One technical consideration related to reports is report data location. If there is significant network latency between the workstation or reporting server that does report processing and the database server, performance (especially for ad hoc requests) may be slow. Likewise, if data is used from multiple sources in different locations, network latency may become an issue. Reporting requirements should specify report generation time based on peak data volume.

Business Rules

The general approach for a modernized system is to externalize business rules from custom application logic. The ACA MES ACCESS project implemented a rules engine running on the mainframe. In a properly architected modern system, use of an external rules engine can provide flexibility to make rules changes without making other application changes. Vendors that provide dedicated rules engines, use rules engines, or have products that use rules engines often communicate that business people will be able to maintain business rules in real-time, as needed. In practice, this is not usually practical, because changes in business rules can have ripple impacts to other system components. Additionally, from a configuration management perspective, most organizations strictly control and automate deployment of changes to production environments. Regardless, the expanded use of a rules engine can create improved processing consistency and reduce maintenance effort.

Processing Triggers

In the legacy system, processing triggers primarily originate from user-entered information and batch processing. The modernized system should primarily support real time event based processing triggers. These real-time events cause workflow updates and system data updates. Requirements to accept real-time updates via web service message will provide the processing capability to support business needs into the future.

Batch Processing

The legacy system has significant batch processing that is mature and efficient for the legacy platform. This processing relies on operations services (provided by the hosting service) to perform job scheduling, restart processing, and processing notifications. Historically, the use of batch processing is usually a legacy strategy driven to encourage use of unused mainframe capacity when users are not online and because legacy application systems did not have data access controls to allow concurrent online and batch processing.

System completion efforts should scrutinize current batch requirements for potential elimination and allow processing to be performed in real-time or asynchronously where possible. The system should encourage external interfaces to move from batch to real time or asynchronous processing.

Even where batch processing must continue because of external interfaces, system completion work should use techniques that will allow the migration to real-time without significant rework.

A related consideration for batch processing is the temporal data support. In a modern system, processing can be run independent of the system clock or current date/time. The data stored in the system retains the temporal attributes making it possible to run processing as of a specific date and time in the past. This is useful for cut-off processing and to support re-run processing if operational errors require reprocessing. This capability can often eliminate the need to have production systems be down if nightly processing did not complete successfully.

Workflow

Work management is one of the most important capabilities of the system. This area of processing requires the most scrutiny. It is important to evaluate the usability of the system interfaces that users access to view work items and

manage work requests of tasks in the business process. In the legacy system environment a worker may have to evaluate work item task lists in multiple sub systems.

One important feature in the modernized system is automatic updates to the workflow based on system actions or data changes. For example, if a workflow step is complete after a user enters a set of information, the system will be much more effective if the task detects the change in the data and automatically marks the task complete, as opposed to the worker having to go to a work assignment screen and mark the specific task closed. This feature for specific task types greatly increases user satisfaction and reduces delays in overall processing throughput, while at the same time provides improved program and administration integrity ensuring eligibility staff receives proper credits for completed transactions without the risk of erroneous manual entries.

An additional consideration is how tasks performed by external users can be managed and tracked in the system. This allows external users to perform their steps of a workflow. The ability for external users to integrate their systems with the workflow engine may be a valuable feature. Alternatively, external users may use interactive work management screens to manage work.

Architecture Services

There are many application architecture services that can be performed by COTS, open source solutions, SaaS services, or custom processing. COTS products balance the use of COTS architecture services to make their products cost effective. The use of architecture services reduces risk related to the specific component, but increases the integration complexity. For COTS products, the vendor is typically responsible for integration of the COTS products used by their solution. If a customer requires customer-specific architecture components, those need to be specified and responsibility for performing this work should be explicit.

A recommended system completion requirement is to identify the specific architecture services to be used and the process to update or replace architecture services in the future.

Determining the right balance of custom-coded architecture services versus other types of architecture services is a matter of discretion. Architecture services that require specialized skills, must comply with external standards or compliance criteria, are widely used, or are low-cost are candidates to use external architecture services.

Architecture services such as security authentication and access, enterprise service bus and infrastructure monitoring should rarely be custom-developed.

Application Ownership

The thinking on application ownership for modern systems has changed for most organizations. When systems provided a unique competitive differentiator or advantage, organizations wanted to retain ownership and control of the application. As organizations recognized that system processing techniques were common to many organizations, there has been a shift to COTS-based solutions.

The other consideration is that the system lifecycle has shortened significantly. When systems were expected to operate largely unchanged, other than normal maintenance for a period of decades, it made sense to own the solution. With the pace of major technology change, most organizations recognize that the expected life of a system is not as long as it has been in the past. For this reason, most organizations are now favoring a rent instead of buy strategy.

From a department budgeting perspective, renting reduces discretion on maintenance expenditures and reduces the effort to secure capital funds needed for major system updates. This can be an advantage to ensure the system receives a base set of maintenance to keep it operational.

Application Development Strategy

Custom development of replacement enterprise applications is generally not considered a viable option because of the large capital expenditure, track record of budget overruns, and delayed implementations. Transfers of custom solutions followed by customization of the system was a popular strategy 10-15 years ago. It was perceived that a transfer strategy was lower risk because the transferred application:

- May have some maturity from iterations of use
- May have eliminated of defects from production use
- Allowed the customer to end up with a custom solution that they owned

The transfer approach is now out of favor because in practice there are not significant savings, especially if there are a significant number of customer specific customizations. The application architecture of the transfer system will also influence ongoing maintenance costs and can limit ongoing system evolution.

Enterprise application development is now primarily completed in vendor development centers that concentrate thousands of workers, usually using offshore locations and low cost resources. Vendors have hiring, management, professional development, and quality management synergies in these centers and prefer to do application development and maintenance work in these locations.

Application Customization

There has been a change in thinking on how to implement modernized systems. The traditional approach that derived from when there were few automated systems is to define requirements and then build or customize the new system to meet specified business requirements. With the introduction of COTS products, organizations are looking at total cost to implement and operate, and are finding that instead of business requirements driving the system, it is often faster and more cost effective to change the business processes and requirements to match the capabilities of the COTS product or SaaS solution. These approaches are quite different. If procuring and considering a COTS product or SaaS solution it is important to align the procurement and negotiation strategy with the approach.

Application Maintenance

Application maintenance strategies have evolved and are continuing to change. The traditional application maintenance approach for enterprise custom systems owned by an organization is to have an onsite team of application developers. For government systems, these resources are often contracted resources that perform services for a long period. Organizations focus on minimizing rate per hour paid and work on a capacity basis providing maintenance and enhancement with the contracted capacity.

For organizations that purchase COTS products for enterprise use, it is common to use an application service provider that manages all maintenance of the COTS product. Work includes product customizations and integration work to support COTS product upgrades. The Application Service Provider works closely with the COTS vendor and often supports multiple customers with a shared pool of resources.

For organizations that use SaaS solutions, the service provider handles all application support and maintenance. These services are provided directly by the SaaS provider.

Infrastructure

A major part of modernizing the system is enabling and modernizing the system infrastructure. The system infrastructure is the network, servers, system software, hosting, and systems operations capabilities.

Improvements in technology have standardized and virtualized infrastructure, allowing leveraging of support resources across a much larger number of systems and system infrastructure components. Cloud providers use this standardization to support many customers at a low cost.

For this system, the move from Department and State hosted infrastructure has the expected benefits of cost savings and improved service level. From an overall state level, migration and decommissioning of the current mainframe, state, and department data centers is a directional priority. If any system completion option retains existing system components there is work to make the current applications cloud ready.

Federal Funding Support

Across all federal agencies there has been dissatisfaction with large high-stakes big-bang custom system replacement projects using single vendor solutions. Federal agencies are communicating a preference to procure and implement system completion programs as a series of component implementations. There is also recognition that COTS and SaaS solutions may be easier to implement and achieve benefits sooner. Federal agencies recognize that improved interoperability and standard integration technologies can allow more competition. They are seeking use of vendors with the best solutions in specific components. Through funding approval direction, they are encouraging that federal investments use systems that can implement the best components and replace them as the market creates better component systems. This is a risk reduction strategy based on the history of large custom projects being expensive to implement, frequently exceeding planned budgets and are often are implemented years after planned completion dates.

Exhibit VI-12 Solution Option Support for Modern System Technology Characteristics below depicts the ability / alignment of each solution option with the modern system technology requirements.

Evaluation Criteria	Modern System Characteristics	COTS Purchase(s)	Custom Development / Transfer	SaaS Procurement	Hybrid / Cloud Enabled Components	Technology Re-platform
Hours of Operation	• 24x7					
Users	• Internal, External, and Public					
User Authentication and Access	• Federated authentication extending to external organizations					
User Interface	• Graphical, Browser, Mobile Device					
Integration	• Real Time Data Access • Web Services • REST, XML data					
Data Sharing	• Public Sector, Private Sector, Academic Organizations and Citizen					
Security	• Security Hardening in every system component • Encryption of Data at Rest and In Motion • Highly restricted data access					
Reporting	• Real Time Operational Reporting • Dashboards • Predicative Analytics					
Business Rules	• Use of Rules Engine • Written in Natural Language					
Processing Triggers	• Messages and Event Based from asynchronous and real time messages (often via an ESB)					
Batch Processing	• Processing can be run any time • Asynchronous Updates					

Evaluation Criteria	Modern System Characteristics	COTS Purchase(s)	Custom Development / Transfer	SaaS Procurement	Hybrid / Cloud Enabled Components	Technology Re-platform
Workflow	• Manages human and machine tasks performed internally and external to the traditional organization • Processing Status transparency with internal and external stakeholders • Dynamic workflow definition and updating					
Architecture Services	• Service Oriented Architecture • Use of Best of Breed COTS components or Software Services					
Application Ownership	• COTS, • Software as a Service (SaaS)					
Application Development Strategy	• COTS					
Application Customization	• Align Business Rules to Match Application Capabilities					
Application Maintenance	• SaaS • Off shore resources • Application Maintenance Provider Task Based Contracting					
Infrastructure	• Cloud based • Software as a Services (SaaS) or Infrastructure as a Service (IaaS)					
Federal Funding Support	• Preference for Small Interoperable Component Implementation • Use of COTS, SaaS, Cloud					

Exhibit VI-12 Solution Option Support for Modern System Technology Characteristics

3. Recommended Technical Solution

The technical solution approach that the Department has selected is the Hybrid / Cloud-Enabled Components approach. This approach provides the most flexible option and provides a best fit to Modern System Characteristics. The approach also aligns the recent federal guidance to use best-of-breed solution components in an interoperable solution as opposed to using single vendor big-bang solution strategies. Technical components could be implemented more quickly, give greater speed to achieve value and return on investment, provide for reusability within the Human Service Enterprise and be shareable with other states. This approach provides for greater vendor competition and value, and provides a path for a phased implementation approach to replacing components of the ACCESS Florida System.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution will result in a strategic completion of the remaining ACCESS Florida legacy system function and infrastructure components over a three-year period. The result will be a completion of the technology transformation that began with the MES Project. The resulting application will meet the Department's business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less costly to maintain. It will also build on the modern architecture foundation that was introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today. It will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements.

The underlying MES architecture upon which the ACCESS System Completion will be built provides an innovative, reusable framework that is extensible and scalable, based on service-oriented architecture principles and non-proprietary software. The solution is designed with integration practices that are based on secure and open-standards that allow for easier integration with other agencies and business partners.

Exhibit VI-13 Proposed ACCESS System Architecture below depicts the system architecture upon completion of Alternative 1, the completion of the ACCESS System, and migration off the legacy mainframe over a three-year timeframe.

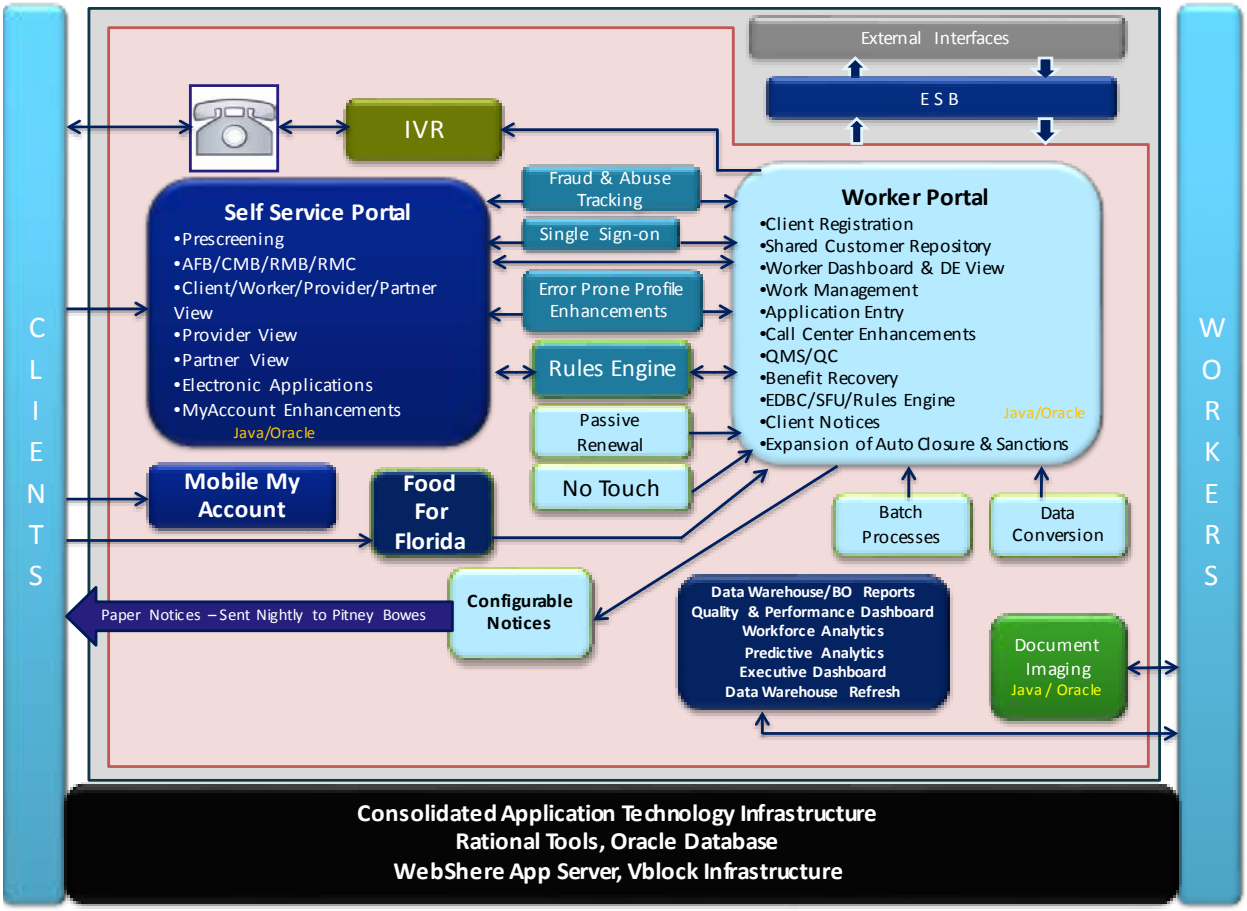


Exhibit VI-13 Proposed ACCESS System Architecture

- **Self-Service Portal** - The Self-Service Portal (SSP) uses eligibility rules based on predefined criteria to allow customers to apply on-line for selected benefits. The system supports streamlined application for medical assistance, Children's Health Insurance Program (CHIP), and other insurance benefits. The SSP architecture integrates several shared services using a framework-based approach for federal verifications, state verifications, and real-time eligibility determination for modified adjusted gross income (MAGI) based medical assistance groups and CHIP. The SSP could be COTS based series of components or component or Software-s-a-Service (SaaS) via the Cloud.
- **ACCESS Document Imaging (ADI) System** - The ADI provides an integrated approach for storing documents used to determine eligibility and support benefit recovery, quality control, and ACCESS Integrity findings. The document imaging system allows staff statewide to scan documents and then access those documents, as needed. The system also includes workflow functionality to facilitate routing and processing of uploaded documents.
- **No-Touch** - No-Touch is a standalone automated batch process that executes the same transactions executed by Case Workers to complete the processing of MAGI based Medicaid applications that are complete and have all the verifications.
- **Reporting and Analytics** - Reporting and Analytics Platform to facilitate DCF staff standard reporting, ad-hoc reporting, and data visualization capabilities.
- **Configurable Notices** - Solution to provide workers the ability to create, manage, and deliver printed notices as required by government mandates for various state-administered public assistance programs, including SNAP, TANF, Medicaid, and Refugee Assistance. Approximately 70,000 to 100,000 notices are transmitted for printing and mailing nightly through a batch process.

- **Food for Florida (FFF)** - The system features multiple modules that include a client facing self-service function that allows customers to pre-register (apply) for benefits over the Internet, a disaster service site worker module that allows DCF staff to review and approve or deny applications, and issue EBT cards for approved applications, as well as a function to allow for the processing paper applications. In addition, the FFF central module features a broad range of functions that include administrative activities to manage disasters, disaster areas, service site locations and users in addition to the capabilities for the backroom processing of paper based applications (paper or image). The FFF system functions in unison with the worker portal for case creation, benefit calculation, and issuance through the EBT vendor interface. FFF includes an interface with the Federal Emergency Management Agency (FEMA) that allows the public to submit EFA applications to FFF through FEMA's disaster assistance website.
- **External Transfers** - The Account Transfers and Interfaces module is designed to allow DCF to exchange information with Federal, State, and third party agencies via real-time web services and FTP batch processes. There are several real-time verification services as part of Affordable Care Act implementation. The verification services include federal verification of Minimum Essential Coverage (MEC) for Medicaid and CHIP programs, FDSH for verification services, Florida Healthy Kids (FHK) and Federally Facilitated Marketplace (FFM) to send or receive applications, SWICA to verify state income, Agency for Health Care Administration (AHCA) to receive enrollment data, FSFN to verify children aged out of Foster care, Florida DOH/Children's Medical Services Network (CMSN) for the determination of clinical eligibility based on applicant/customer input.
- **Rules Engine** - The external business rules engine hosts MAGI based Medicaid rules exposed to internal and external applications through Enterprise Service Bus. This provides flexibility to allow same rules execute in both Florida ACCESS and Open systems. These rules support the Self-Service Portal Real-time Eligibility and Screening modules, FHK CHIP Eligibility, and ACCESS Eligibility system.
- **Interactive Voice Response** - The IVR application allows customers 24x7 toll-free access to information about their public assistance case status, eligibility and benefit information, appointment details, verification items required, and information on other ESS programs.

  Customer input is received via telephone and interpreted by a voice response server. The voice response server uses stored procedures to access the ACCESS Florida System and retrieve information in response to the customer inquiry.
- **Telephonic Applications** - Telephonic application functionality allows SNAP operators to submit applications on behalf of customers.
- **Fraud & Abuse Tracking** - The State of Florida Benefit Recovery program for recovering overpaid benefits and reporting related information to the Federal Government. A fully functional and consolidated benefit recovery system maintains all customer, budget, claims, and accounting data. This simplifies the claims, collections, accounting, reporting and monitoring activity of the BR management and staff.
- **Internal and external interfaces** - The implementation of the modernized ACCESS Florida System would use the ESB to interface with external systems. The transition from batch interface processing to real time or near real time processing would be enabled by the new system and associated architecture capabilities. The timing of migration would be driven by the external organization's ability to provide or receive information in real time.
- **Worker Portal** - The Worker Portal comprises multiple functional components for Client Registration, Work Management, Application Entry, Eligibility Determination/Benefit Calculation, Benefit Issuance, Call Center, Benefit Recovery, Rules Engine, Client Notices, Shared Customer Repository, Worker Dashboard, Auto Closure & Sanctions, and QMS/QC.

2. Anticipated on-going operating costs

Exhibit VI-14 Future ACCESS Florida System Maintenance & Operations Costs lists the anticipated annual maintenance and operating costs for the ACCESS Florida System after the system completion in the proposed solution.

Cost Area	Period	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023	FY 2023-2024
Mainframe M & O	Current	$10,249,350	$ 10,249,350	$ 10,249,350	$ 10,249,350	$10,249,350	$10,249,350	$10,249,350
	Anticipated Savings	$ -	$ 768,701	$ 1,921,753	$ 3,074,805	$ 3,074,805	$ 3,074,805	$ 3,074,805
	Totals	**$10,249,350**	**$ 9,480,649**	**$ 8,327,597**	**$ 7,174,545**	**$ 7,174,545**	**$ 7,174,545**	**$ 7,174,545**
Midrange M & O	Current	$ 1,085,291	$ 1,085,291	$ 1,085,291	$ 1,085,291	$ 1,085,291	$ 1,085,291	$ 1,085,291
	Incremental Increase	$ 1,050,000	$ 2,100,000	$ 2,390,070	$ 2,390,070	$ 2,390,070	$ 2,390,070	$ 2,390,070
	Totals	**$ 2,135,291**	**$ 3,185,291**	**$ 3,475,361**	**$ 3,475,361**	**$ 3,475,361**	**$ 3,475,361**	**$ 3,475,361**
MES System Integrator M & O	Current	$ 5,341,160	$ 5,341,160	$ 5,341,160	$ 5,341,160	$ 5,341,160	$ 5,341,160	$ 5,341,160
	Incremental Increase	$ -	$ 2,000,000	$ 3,900,000	$ -	$ -	$ -	$ -
	Totals	**$ 5,341,160**	**$ 7,341,160**	**$ 9,241,160**	**$ 5,341,160**	**$ 5,341,160**	**$ 5,341,160**	**$ 5,341,160**

Exhibit VI-14 Future ACCESS Florida System Maintenance & Operations Costs

3. Requirements for Proposed Solution (if any)

The draft high-level functional and technical system requirements that must be met by the project to achieve the business objectives and business requirements outlined in the Strategic Needs Assessment section of this document are detailed in Section II-D. Some specific requirements related to technology are outlined in Exhibit VI-15 – Proposed Solution Technical Requirements. In addition, the proposed solution should include CMS conditions and standards for:

- **Modularity** – Use of a modular, flexible approach including the use of open interfaces
- **MITA standards** – Aligned and ready for advancement in the Medicaid Information Technology Architecture
- **Industry compliance** - Alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards
- **Compliance with the Minimum Acceptable Risk Standards for Exchanges (MARS-E)**
- **Leverage** – Promotes sharing, leverage, and reuse
- **Business results** – Supports accurate and timely processing of eligibility with the public
- **Reporting** – Has the capability to produce reports supporting program evaluation, continuous improvement in business operations, and transparency and accountability
- **Interoperability** – Supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions

Requirement Area	Initiative	Description
Architecture	Single Sign-On	The solution shall require users to sign on only once to access multiple systems that support ESS worker processing.
Architecture	SOA/Standards	The solution architecture shall be modular with open interfaces and business rules that are separate from application-related programming.
Architecture	SOA/Standards	The solution shall comply with CMS 7 Standards and Conditions and leverage an open, standards-based, SOA that aligns with the MITA maturity model as published in 42 CFR Part 433.
Architecture	SOA/Standards	The solution shall be deployed as a web-based, graphical user interface, accessed via a web browser or mobile application.
Architecture	SOA/Standards	The solution shall comply with accessibility standards and regulations under Sections 504 and 508 of the Rehabilitation Act of 1973, as well as with the Americans with Disabilities Act of 1990 (ADA).
Architecture	Implementation Approach	The solution shall have the capability to interact with ACCESS Florida mainframe and ACCESS Document Imaging (ADI) systems to continue to provide existing business services while legacy ACCESS systems are undergoing reengineering in a phased implementation.
Architecture	System Performance	The solution shall provide the capability for capacity monitoring via server volume/capacity and network volume/capacity monitoring.
Architecture	System Performance	The solution shall provide the capability for application monitoring for all ACCESS Florida system functionality.
Architecture	System Performance	The solution shall include infrastructure based on the MES architecture to accommodate processing of existing volume and capacity of ESS worker caseloads which have had a 30% cumulative growth over the last five-year period.
Architecture	Disaster Recovery	The solution shall provide the ability to create back up customer information, case information, eligibility benefits batch files, and all system components for disaster recovery.
Architecture	Data Migration	The solution shall convert functionality and processes written in COBOL and other third party supporting software on the ACCESS Florida mainframe to an open systems platform based on MES architecture.

Requirement Area	Initiative	Description
Architecture	Data Migration	The solution shall convert customer information such as but not limited to benefit/service history, overpayments, recoupments, benefit clocks, and sanctions from the IMS hierarchical database on the ACCESS Florida mainframe to a relational database based on MES architecture.
Architecture	Data Migration	The solution shall provide the capability to convert active (on-line), inactive (i.e., closed, denied) and archived (off-line) records.
Architecture	Data Migration	The solution shall provide a mechanism to clean the data and remove duplicate records.
Architecture	Interface Migration	The solution shall migrate interfaces with the ACCESS Florida mainframe to the MES architecture based on an Enterprise Service Bus (ESB).
Architecture	Interface Migration	The solution supports the secure transmission of data via the ESB using an established security appliance as part of the MES architecture.
Architecture	Interface Migration	The solution shall provide the ability to import data into the system in multiple formats (i.e., csv, fixed length ASCII, tab-delimited).
Architecture	Interface Migration	The solution shall provide the ability to maintain external system information for interfaces (i.e., connection strings, file paths).
Architecture	Interface Migration	The solution shall provide the ability to transmit and receive imported and exported data through multiple secure methods compliant with NIST standards (i.e., file output, web service, single and batch transactions).
Architecture	Security	The solution shall meet the minimum security requirements as defined by FIPS through the use of security controls in accordance with NIST standards.
Architecture	Security	The solution shall support full compliance with the controls defined in Volume III: Catalog of Minimum Acceptable Risk Security and Privacy Controls for Exchanges, including the document suite of guidance, requirements, and templates known as the Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0.
Architecture	Security	The solution shall enable multi-factor authentication for secure access to data.

Exhibit VI-15 – Proposed Solution Technical Requirements

E. Capacity Planning

FLORIDA System Performance Reports are submitted to AST on a monthly basis. The fiscal year totals and averages for the period July 2015 through June 2016 of some of the reported metrics is presented in the Exhibit VI-16 FLORIDA System Metrics table below. For the year, the system availability was 100% with no system outages. Note the mainframe was moved from the Northwood Center to the Southwood Data Center location on Sunday, May 29, 2016. This meant the mainframe system was shut down from 06:00 to approximately 22:00 that day while the move was taking place. Total transactions for the period numbered 4,121,703,258 with response time less than or equal to 1 second for 98.90% of all transactions.

Metric	Fiscal YTD
System Availability	100%
Number of Outages	0
Transactions	4,121,703,258
% <= 1 second	98.90
% <= 3 seconds (SLO)	99.67
% <= 5 seconds	99.84
% <= 10 seconds	99.94
% > 10 seconds	0.06
Peak arrival (per second)	571.42
Peak arrival (date / time)	1/19/2016 17:00
Peak day	1/19/2016
Peak day count	19,317,606
Database calls	101,190,119,374
Avg. database inquiries per transaction	22.76
Avg. database updates per transaction	2.06

Exhibit VI-16 FLORIDA System Metrics

The historical average daily transaction count and CPU Time from July 2015 through July 2016 are shown in Exhibit VI-17 Average Monthly CPU Utilization below. The average number of daily (M-F) production transactions for June 2016 was 15,733,958. This was an increase of 5.72 percent over the prior month and a decrease of 3.27% Year to date for the period.

1. Monthly CPU Utilization

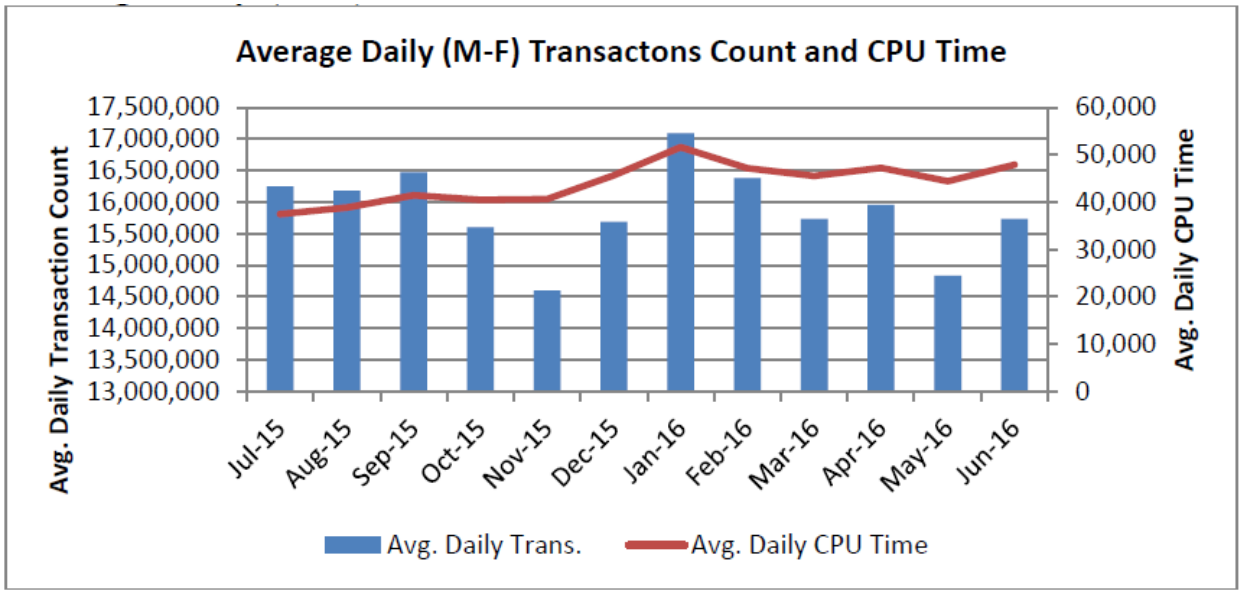


Exhibit VI-17 Average Monthly CPU Utilization

2. CPU Peak Utilization

The peak CPU utilization percentage is shown in the Exhibit VI-18 CPU Peak Utilization below for the period July 01, 2016 thru June 30, 2016. The average # of transactions per day (Average of transaction counts of working days and normal work hours) was 16,117,278 with the peak # of transactions per day of 19,317,606 occurring on 7/13/2015.

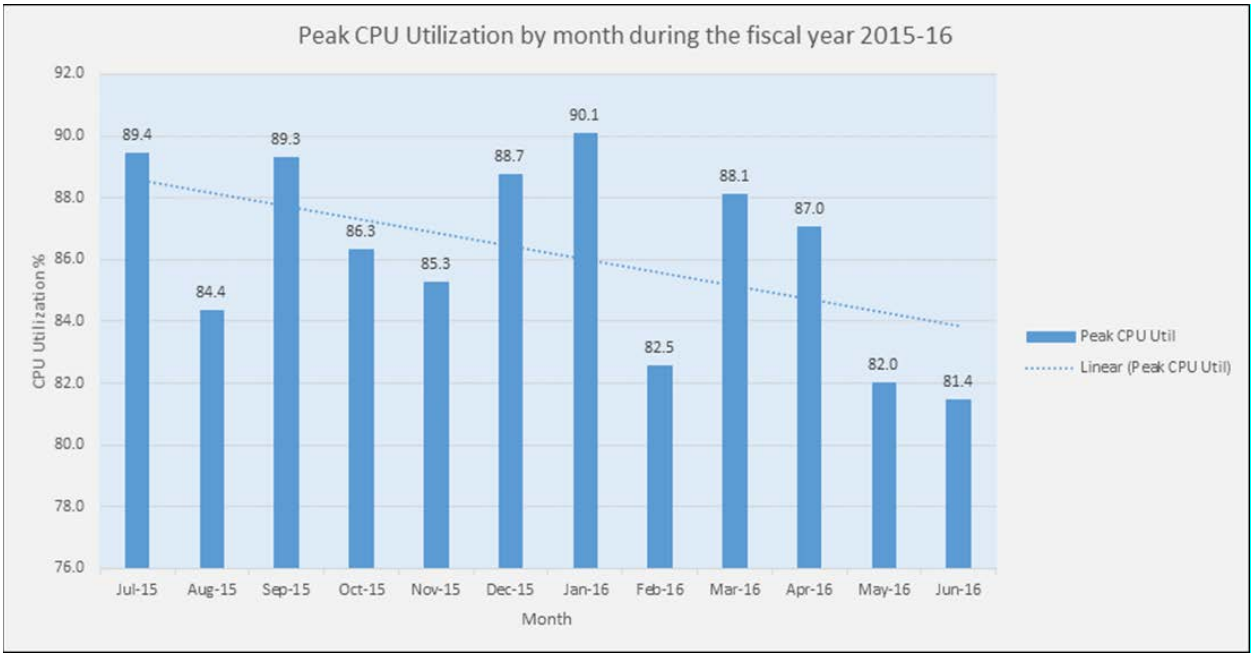


Exhibit VI-18 CPU Peak Utilization

CPU usage can never exceed 100%. If action is not taken to address mainframe capacity, the system performance (in terms of response times) will slowly degrade over time.

3. CPU Utilization Rate

Exhibit VI-19 Monthly FLIH LPAR CPU Utilization during Last 12 Months shows the number of times per day the FLIH LPAR was allowed to exceed its CPU % utilization weight (49%) for the last 12 months. Exceeding the utilization weight might be an indication that more resources are needed because the workload is increasing. For the period of July 2015 through June 2016, there was a 67.49% increase in that activity. Average CPU utilization is expected to continue increasing by 23.5% over the next 12 months.

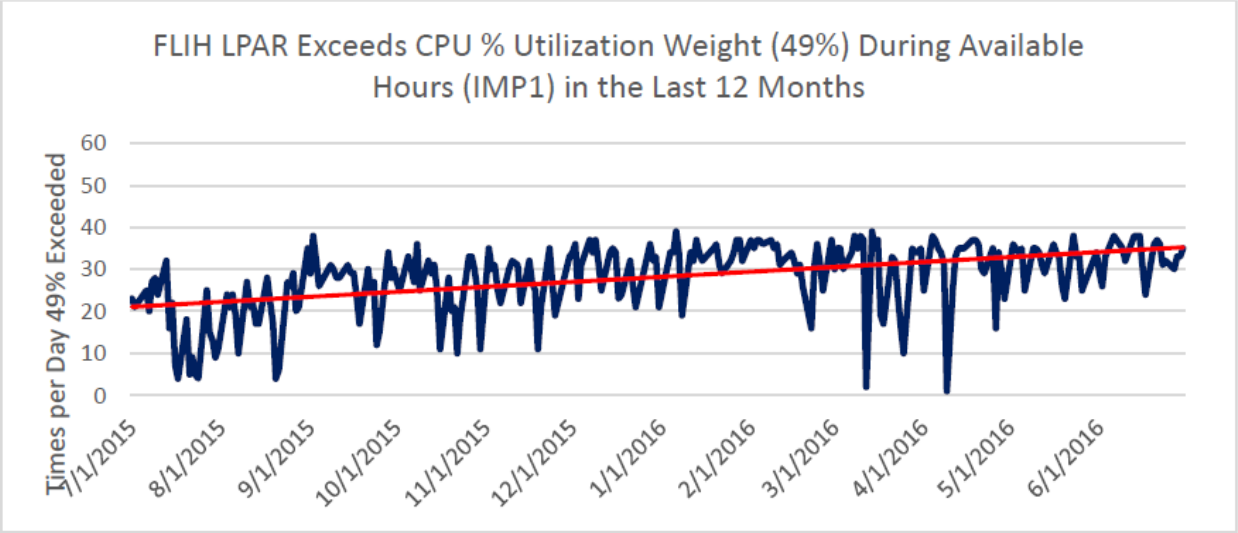


Exhibit VI-19 Monthly FLIH LPAR CPU Utilization during Last 12 Months

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

> ***NOTE: For IT projects with total cost in excess of $10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.***

A. Project Charter

> ***Purpose: To document the agreement between a project's customers, the project team, and key management stakeholders regarding the scope of the project and to determine when the project has been completed. It is the underlying foundation for all project related decisions.***

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

1. Program Name

This program is referred to as ACCESS System Completion.

2. Purpose

The purpose of the project is to finish the ACCESS System Completion through a strategic conclusion of system function and infrastructure over a three-year period. This would be done through one or more procurements to replace specific ACCESS system components with COTS, SaaS, and custom component solutions. All components of the new system could be implemented as a Cloud-based component solution. This technology option would meet CMS requirements for a solution strategy to implement modular components. CMS is guiding states to provide greater speed to value, reuse within the Medicaid Enterprise, more vendor competition, a phased implementation approach, and reusable solutions from other states. The tangible benefits include increased worker productivity, fraud prevention, privacy, and confidentiality, meet federal and state standards and conditions, and reduced operating costs for the ACCESS Florida System at the AST data center. The intangible benefits of the project include improved customer service, maintaining benefit accuracy, program integration, more effective use of resources, and enterprise interoperability.

3. Objectives

This project will meet the following objectives:

- Promote personal and economic self-sufficiency
- Prevent fraud, protect privacy and confidentiality
- Advance personal and family recovery and resiliency
- Leverage increased efficiencies and serve Florida citizens in the most effective manner possible
- Position the department to further maximize the benefit of the state investment in technologies implemented to support the Medicaid eligibility system
- Stabilize and reduce ongoing support costs
- Focus on the benefits of increasing "no touch" and rules engine-based automated processing
- Create a modern, integrated, rules-based system that supports the public assistance programs leveraging modern technology preferably using COTS, Cloud-based, or Software-as-a-service (SaaS) solutions
- Facilitate improved communication within the Department as well as between the Department and its' external stakeholders
- Provide Department staff with timely access to information necessary for performance measurement and

quality management
- Provide better access to data through searching and reporting capability
- Employ project management best practices throughout the life of the project
- Complete the project within agreed budget and timeframes

4. Project Phases

The project consists of multiple phases to replace specific System components with a combination of COTS, SaaS and custom component solutions over a 3-year period. Focus will be on the highest priority systems in Year 1 and Year 2 based upon the business need or technical complexity as depicted in Exhibit VII-1 Project Scope. The first year will include establishing the PMO, perform detailed planning and reporting activities, acquisition of the system integrator, establish a sound foundation to effectively manage the project, and prepare advance-planning documents for approval of federal funds participation for development and for maintenance and operations for the subsequent fiscal years. Utilizing an agile development cycle, DCF can begin development during the planning phase in an iterative fashion.

5. Project Management

The primary project management methodology used by DCF is based on the PMI's Project Management Framework. The DCF Project Manager and the implementation vendor will agree upon an appropriate project management methodology. The Project Director or Project Sponsor may consider changes to the methodology at any phase of the project, as deemed appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific project management methodology employed, certain management, and control mechanisms will be relevant to all phases of this project, including:

- Project Charter that clearly conveys what will be accomplished by the project, signed, and authorized by the Project Executive Sponsor
- Project contract(s)
- Project Management Plan
- Baseline project schedule
- Independent Verification and Validation (IV&V)
- Change Management
- Project Issues Register
- Project Risk Register
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the Project Management Plan, will assist both the Project Manager and Project Sponsor in planning, executing, managing, administering, and controlling all phases of the project. Control activities will include, but may not be limited to:

- Monitoring project progress; identifying, documenting, evaluating, and resolving project related problems that may arise
- Reviewing, evaluating and making decisions with regard to proposed changes; Changes to project scope will be tightly controlled according to a documented change request, review and approval process agreed to by all stakeholders
- Monitoring and taking appropriate actions with regard to risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of project deliverables and taking appropriate actions with regard to any project deliverables that are deficient in quality

6. Project Scope

The scope of this project will include a significant business process analysis and requirements development effort as well as the design, development, testing, user training, and statewide implementation of a new business system to support the following DCF functional and technical areas across SNAP, TANF, and Medicaid eligibility programs:

	Year 1 SFY 2017 - 2018	Year 2 SFY 2018 - 2019	Year 3 SFY 2019 - 2020
Business Functionality	Mobile Application Real-Time Web Services Worker Dashboard and DE View	Client Registration and Master Client Index Automated Data Processing Notices MyAccount Enhancements Auto Denials and Closures Shared Customer Repository Work Management and Balancing	Rules Engine Completion Automated and No Touch Processing Error and Fraud Prone Profiles Customer Call Center Enhancements
Information & Data	Data Warehouse Integrated Imaging Fraud and Abuse Tracking	Reports Migration Benefit Recovery Redesign Quality Management System Quality and Performance Dashboard Advanced Workforce Analysis Tools	Data Migration Near Real-Time Access to Client Data Data Warehouse Refresh Data Analysis Tools
Infrastructure	Infrastructure	Interfaces Migration Single Sign-On Infrastructure	Interface Migration Batch Processes Infrastructure
Support & Maintenance	Estimated Code Change Additional O&M Support	Estimated Code Changes Additional O&M Support	Estimated Code Changes Additional O&M Support

Exhibit VII-1 Project Scope

Also Included in the Project Scope:

- Establishment of a Project Management Office
- Organizational Change Management
- Independent Verification and Validation (IV&V)
- Data conversion and migration
- Data warehouse design and development
- Statewide system implementation
- Content development for training materials and system help screens
- End-user training
- Operations and maintenance planning
- Reporting functions

The table below summarizes the activities to support the ACCESS System Completion effort:

Activity	Description
Analysis	Validation of the system requirements collected during previous business process improvement and requirements gathering efforts.
Design	Joint Application Design sessions with end users, functional and technical design documentation, and user interface prototyping.

Activity	Description
Build	Application configuration and system development, database development, data conversion, data migration, data warehouse development, unit testing, creation of help screens and development of an online user tutorial.
Test	Creation of test plans and test cases, and the performance of integration and system testing, user acceptance testing, and regression testing.
Deploy	Implementation planning and the deployment of the new system to a production environment.
Operations	Begins during the system implementation phase. The emphasis of this phase will be to ensure that the necessary equipment, staff, and procedures are in place to meet the needs of end users and ensure that the system will continue to perform as specified.

Exhibit VII-2 System Enhancement Activities

7. Project Deliverables

The following table contains a preliminary list of project deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected implementation vendor and will be appropriate to the technology solution chosen.

Name	Deliverable Description
Project Management Status Reports	Weekly status reports to project management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the Department's Legislative Budget Request for follow on phases.
Project Charter	Issued Project Sponsor that formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.

Name	Deliverable Description
Project Management Plan	Includes the following documents as required by the DCF Project Director and/or the PMO: • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business Process Flows	Represents, graphically, the current state of public assistance business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of public assistance business processes, as reengineered by the vendor in conjunction with DCF subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Technical Design Specification	Detailed technical design for data and information processing in the new business system to include: • Data Model/ERD • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system integrator's design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design; to include detailed data conversion mapping.
Knowledge Transfer Plan	Details the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation.
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Weekly status reports to project management team.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.

Name	Deliverable Description
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to "go live" with the project and identifies action plans to remedy any lack of readiness.
IV&V Project Charter	A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.
IV&V Status Reports	Quarterly reports to the Executive Management Team.
IV&V Periodic Assessments	Documents the results of IV&V activity to determine the status of project management processes and outcomes including but not limited to: • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary • Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan) • Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
Data Migration Plan	Plan for migration of data from existing systems to new databases (as required).
Test Plans	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing.
Test Cases	Documented set of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system statewide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for post-implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

Exhibit VII-3 Project Deliverables

8. Project Milestones

It is anticipated the project will be managed according to the following milestones. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require Project Sponsor sign-off prior to commencing the next activity.

Milestone	Deliverable(s) to Complete
Legislative Approval	• Updated Schedule IV-B
Federal Funding Approval	• Advance Planning Document
Project Kick-Off	• Project Charter
Project Management Documents Completed	• Various (See deliverable list)
Business Process Analysis Completed	• As-Is Business Process Flows • To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	• System Requirements Document • Public Assistance Requirements Document
Project Management Documents Completed	• Various (See deliverable list)
Acceptance of Validated Requirements	• Validated Functional Requirements Document
Acceptance of User Interface Prototypes	• User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	• Functional and Technical Design Specification documents
User Acceptance Testing Complete	• NA
End User Training Complete	• On-site training sessions • Training materials
System Deployment	• Functional system released into production
Project Close-out	• Lessons Learned • Knowledge Transfer • Contract Compliance Checklist • Project Close-out Checklist

Exhibit VII-4 Project Milestones and Go/No-Go Decision Points

9. General Project Approach

The following activities are required to finish the ACCESS System Completion project:

1. Submit a Legislative Budget Request
2. Perform Schedule IV-B Feasibility Study update
3. Prepare federal Advance Planning Document
4. Execute the project
5. Monitor and control the project
6. Develop and Test the proposed solution as described in the Technology Planning section per the three-year plan outlined in Exhibit VII-1 Project Scope and Exhibit VII-6 High-Level Project Schedule
7. Implement the proposed solution
8. Conduct Organizational Change Management and Communications activities
9. Develop and Conduct Training
10. Deploy the system to trained users who are fully prepared to use the new system and are supported by on-screen help
11. Conduct knowledge transfer
12. Continued operations, administration and support of the system through the warranty period
13. Close Out the project
14. Operate and enhance the system throughout its service life

10. Change Request Process

Projects of this magnitude should expect change as the project progresses through the design, development, and implementation phases. All change requests will be formally documented and validated by the PMO and the Change Control Board (CCB), which will be comprised of key project stakeholders according to the Change Management Plan. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned and the request will be scheduled accordingly. Exhibit VII-5 illustrates the proposed change request process.

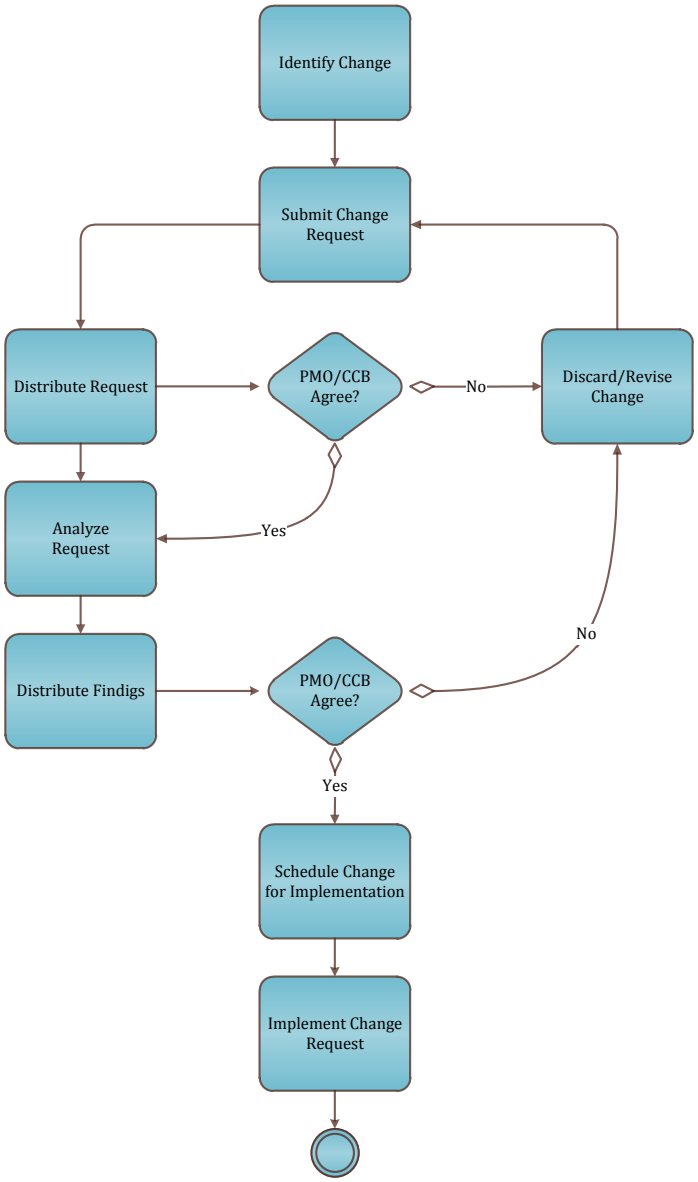


Exhibit VII-5 Proposed Change Request Process

B. Project Schedule

The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the DCF project manager and implementation vendor(s). The figure below represents the high-level project schedule that reflects the planned three-year approach to the ACCESS System Completion Project.

Phase	Major Activities	SFY16-17			SFY 2017-2018				SFY 2018-2019				SFY 2019-2020			
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Year-0	Complete LBR, Feasibility Study															
	Prepare advanced planning document for FPP approval															
Year-1	Implement Year 1 ACCESS System Completion Project Scope															
	Implement Year 1 information & data upgrades related to Year 1 Scope															
	Implement any Year 1 architecture changes to support Year 1 Scope															
Year-2	Implement Year 2 ACCESS System Completion Project Scope															
	Implement Year 2 information & data upgrades related to Year 1 Scope															
	Implement any Year 2 architecture changes to support Year 1 Scope															
Year-3	Implement Year 3 ACCESS System Completion Project Scope															
	Implement Year 3 information & data upgrades related to Year 1 Scope															
	Implement any Year 3 architecture changes to support															
On-going	Perform support & maintenance															

General Program Management
Business Functionality
Information & Data
Architecture
Support & Maintenance

Exhibit VII-6 High-Level Project Schedule

C. Project Organization

The DCF Project Management Team will be headed by the DCF Project Director and will include the Vendor Project Manager. This team will be responsible for day-to-day oversight of the project. In addition, the Project Management Team will work closely with the Florida Agency for State Technology (AST) to ensure that sufficient external project oversight is established and maintained.

For a project of this size and duration, the Department will implement a Project Management Office (PMO) to create project management plans, monitor project issues and risks, and provide general support to the Project Director throughout the project. The PMO will be staffed with multiple Certified Project Management Professionals.

The project business stakeholders include seasoned DCF staff from the program's core business areas. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all project deliverables.

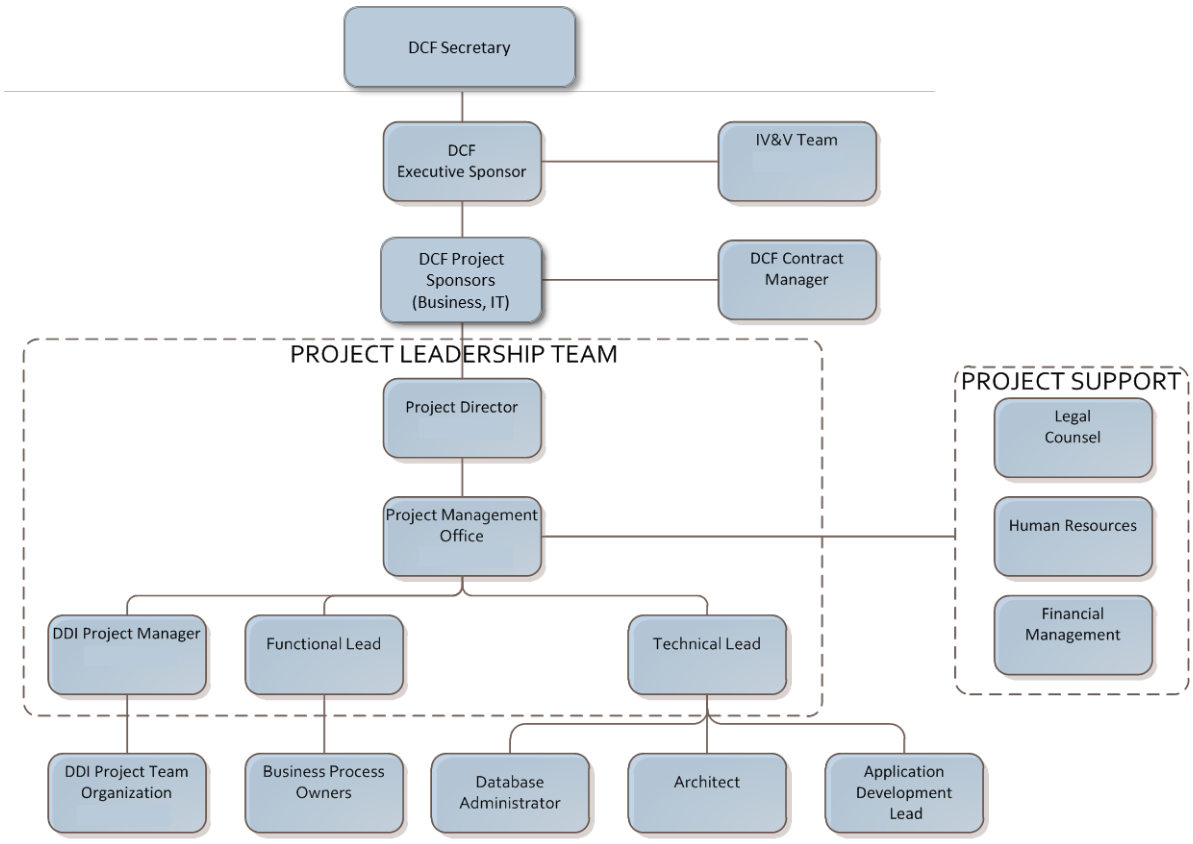


Exhibit VII-7 Proposed Project Organization

The following table identifies roles in the project organization and a summary of their responsibilities.

Role Name	Description	Assigned To
Executive Sponsor	• Provides executive oversight to the project • Acts as final escalation for all issue resolution • Directs governance	DCF Secretary or Designee
Executive Management Team (EMT)	• Supports the project vision • Resolves escalated issues	DCF Secretary or Designee Chief of Staff Assistant Secretary for ESS CIO
IV&V Vendor	• Verifies that the system is developed in accordance with validated requirements and design specifications • Validates that the system performs its functions satisfactorily • Monitors project management processes and provides feedback on any deficiencies noted • Reviews and provides feedback on project deliverables • Presents to Executive Management team on IV&V activities	Awardee from competitive procurement
Project Business Sponsor	• Has programmatic decision making authority • Champions the project within the customer's organization • Provides guidance on overall strategic direction • Provides business resources for project success • Has Programmatic responsibility for successful development and implementation of the project • Facilitates communication with the EMT	DCF-ESS Director
Project IT Sponsor	• Has IT decision making authority • Champions the project within the customer's organization • Provides guidance on overall strategic direction • Provides IT resources for project success • Has responsibility for successful development and implementation of the project • Facilitates communication with the EMT	DCF Chief Information Officer
Project Budget Officer	• Controls project budget • Provides budget related input into project scope and contract change decision making process •	TBD
Project Director	• Has overall responsibility for the successful development and implementation of the project • Oversees the development and implementation of the project • Oversees the Project Management Office for the project • Liaison with IT Sponsor for resources • Liaison with Project Business Sponsor for business resources and day-to-day activities	DCF Designee

Role Name	Description	Assigned To
Project Management Office	• Responsible for day-to-day project oversight • Provides overall guidance and direction to the System Integrator • Coordinates with the Project Director for resources • Works with System Integrator Project Manager to ensure stakeholder needs are met • Has daily decision making authority • Oversees and manages project plan • Facilitates the Business Stakeholders Committee • Coordinates project resources, budgets and contract management • Reviews and provides feedback on project deliverables • Responsible for project management areas including scope, risk, quality and change control • Coordinates project status communications • Liaison with external agencies as needed	TBD
Project Business Stakeholders Committee (*Group of internal and external stakeholders from DCF and other agencies.)*	• Provides input on functional requirements • Participates in project user group meetings and sessions • Provides input on project activities • Reviews and comments on project documents and deliverables • Disseminates project information and updates to local internal/external stakeholders	TBD
Systems Integrator (SI) Project Manager	• Reports to the Project Director • Works with the Project Management Office to seek guidance and direction; • Responsible for systems integrator project management activities • Leads the planning and development of project deliverables • Develops and manages the project schedule and associated tasks • Maintain all project documentation including detailed project plan • Ensure adherence to the process and project management standards and guidelines • Responsible for project management areas including scope, risk, quality and change control • Prepare formal project reports and presentations • Ensure deliverables conform to DCF standards • Facilitate project related meetings as required	SI Vendor

Exhibit VII-8 Project Organization Members - Roles & Descriptions

D. Project Quality Control

Purpose: To understand project quality requirements and ensure that effective quality control processes and procedures are in place and operational in time to support the needs of the project.

The project will follow the PMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the project contract. Quality will be monitored and controlled by the Project Management Team and deliverables will be accepted only when the acceptance criteria have been met. The PMO will provide oversight and assistance to the entire Project Team to ensure that standards are followed.

Project Area	Description
Development Standards	If applicable, the vendor responsible for design and development of the Public Assistance System will follow DCF's programming and development standards.
Testing Management	The vendor will follow the established standards of the DCF PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing, and user acceptance testing.
Approval	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
Software Configuration Management	If applicable, the vendor will follow the established standards of the DCF PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The DCF PMO will be involved in contract management. All contracts must pass executive and legal approval. In addition, external project oversight will be required for contract negotiation.

Exhibit VII-9 Quality Standards by Project Area

In addition to these formal areas of quality control, the following practices will be maintained during the life of the project.

- Peer reviews of artifacts
- Project team acceptance and approval
- Periodic project team meetings
- Project status meetings
- Periodic contractor, contract manager, project manager and project team meetings
- Change control management processes, including the creation of a change review and control board that provides representation for all affected stakeholders
- Contract manager and DCF Project Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing
- Risk Management and Mitigation

Quality will be monitored throughout the project by the PMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure project quality control.

E. External Project Oversight

Purpose: To understand any unique oversight requirements or mechanisms required by this project.

A full-scale Independent Verification and Validation (IV&V) effort will be in place throughout the life of the project. The purpose of IV&V is to provide an unbiased review and assessment of the project to help ensure it is meeting its desired goals, it adheres to internally documented or recognized industry standards and guidelines, the products or deliverables meet the requirements and are of high quality, appropriate controls are defined and utilized, and that the stakeholders in the process are effectively involved and aligned. Specific objectives of the IV&V effort for this project will include:

- Providing validation that the implementation vendor
- Complies with the terms of the contract
- Performs and provides deliverables to the satisfaction of DCF
- Fulfills the technical and non-technical requirements of the contract
- Completes the project within the expected timeframe
- Demonstrates value and is committed to achieving the goals outlined by DCF
- Acts in the best interests of DCF and surfaces issues in a timely and comprehensive manner
- Providing an independent, forward looking perspective on the project by raising key risks, issues and concerns and making actionable recommendations to address them
- Enhancing management's understanding of the progress, risks and concerns relating to the project and providing information to support sound business
- Provide ongoing advice and direction to the Executive Management Team, the Project Director and DCF Executive Leadership throughout each phase of the project

In addition, the DCF Project Management Team will work closely with AST to ensure that sufficient external project oversight is established and maintained.

F. Risk Management

Purpose: To ensure that the appropriate processes are in place to identify, assess, and mitigate major project risks that could prevent the successful completion of this project.

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project.

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated, and closed throughout the lifecycle. A source of Risks for the project would include items from the Risk Assessment in Section V of this IV-B Feasibility Study that were rated High, and should be mitigated in the first year of the project.

Risk Management Plan

All phases of the project will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated, and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed and adhered to throughout all phases of the project. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the ACCESS System Enhancements. The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project. It is recommended that the following checkpoints be followed during the project:

Task	Recommendation
Risk Management Plan	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Project Director and Project Sponsor. More frequent or "as required" updates should be performed.
Risk Management Reviews	As part of a disciplined approach to addressing project risks, monthly Risk Meetings should be conducted during the project lifecycle.

Exhibit VII-10 Project Risk Checkpoints

- Risk Management Plan: Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Project Director and Project Sponsor. More frequent or "as required" updates should be performed.
- Risk Management Reviews: As part of a disciplined approach to addressing project risks, Risk Meetings should be conducted during the project lifecycle at intervals agreed upon with the Project Director and Project Sponsor.

G. Organizational Change Management

Purpose: To increase the understanding of the key requirements for managing the changes and transformation that the users and process owners will need to implement for the proposed project to be successful.

Effective Organizational Change Management (OCM) will be integral to the success of this project, and will be a critical success factor for ensuring staff participation in business process improvement, implementation, and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the ACCESS System Enhancements, OCM will be effectively implemented through communication, awareness, and training.

DCF will adhere to the standards of the PMO for Organizational Change Management. A specific OCM methodology has not been identified at this Phase, but will be identified in the Organizational Change Management Plan.

At a minimum, the following will be included in the final Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum
- OCM Communication Plan

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the project:

- Organizational Change Manager (a member of the project management team dedicated to OCM)
- DCF Project Manager
- Project Sponsor
- DCF Executive Management

H. Project Communication

Purpose: To ensure that effective communication processes are in place to disseminate information and receive feedback from users, participants, and other project stakeholders to facilitate project success.

All phases of the ACCESS System Completion will use communication methods proven to be effective on large-scale IT implementations, and will follow the standards developed by the PMO. These will include a communication plan, a formal project kick off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular review and evaluation of project issues and risks, periodic project evaluation, regular system demonstrations and reviews, and a project artifact repository.

Disseminating knowledge among stakeholders is essential to the project's success. Project sponsors, core project team members, and key stakeholders must be kept informed of the project status and how changes to the status affect them. The more people are kept informed about the progress of the project and how it will help them in the future the more they will participate and benefit.

At this time, the specific communication needs of project stakeholders and the methods and frequency of communication have not been established. A detailed Communication Plan will be completed which outlines the requirements for effective communication methods and how they will be implemented. These will include project kick off, regular status meetings, regular status reports, regular review, and evaluation of project issues and risks, milestone reporting, periodic project evaluation, regular product demonstrations and reviews, a web-based discussion board, project website, etc. It is expected that the Communication Plan will be adhered to and receive updates as applicable during the life of the project.

VIII. Appendices

A. Detail on Performance Measures

Detailed evaluations found below expand on the weighted alternatives scoring system by providing justification and rationale of the scores assigned to each criterion. Furthermore, scores for the individual factors that constitute the criterion score and provided too.

ES105

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES105**
MCode:	**M0105**
Measure Title:	Percent of all applications for assistance processed within time standards.
Population Title:	Persons who need economic assistance

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	Florida On-Line Recipient Integrated Access (FLORIDA) System

Measure Label:	Percent of applications processed timely
Contract Title:	N/A
Definition:	Application refers to electronic or paper forms submitted by individuals for cash assistance, Medicaid or Food Stamps. Processed/disposed is defined as approved or denied. Time standards are measured from date of application to date of disposition as follows: Cash Assistance: 45 days. Expedited Food Stamps: 7 days. Non-Expedited Food Stamps: 30 days. Medicaid without disability

	determination: 45 days. Medicaid with disability determination: 90 days. Excluded from days processed are days attributed to non-agency delays such as delays in information submittal by the applicant.
Algorithm:	Denominator: Total of all applications disposed in the month, excluding KidCare Medicaid, SUNCAP and disaster Food Stamp applications. Numerator: The number of these applications that do not exceed the defined time standards.
Data Sources:	Applicants and Economic Self-Sufficiency staff.
Validity:	This indicator measures the department's ability to respond timely to requests for assistance from families and individuals to help meet their basic needs. Basic needs include food, shelter, and medical care.
Reliability:	Internal quality reviews are completed on a sample of applications. These reviews validate the dates reported in the system.
History:	Federal requirement.
Comments:	N/A
Data Process:	A time stamp in the FLORIDA system records when the application (paper or electronic) is received and disposed. Monthly, data is extracted from the FLORIDA system to DB2 tables and is then sent to the ESS Datamart. ESS data unit staff then query the Datamart for timeliness of applications.

ES106

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES106**
MCode:	**M0106**
Measure Title:	Total number of applications processed
Population Title:	Persons who need economic assistance

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	FLORIDA System

Measure Label:	Number of applications
Contract Title:	N/A
Definition:	The applications are for economic assistance e.g. food stamps, Medicaid, cash assistance and others. Processed means that the person in need of economic assistance has been interviewed; his or her application has been analyzed by ESS staff; and the person's eligibility has been determined.
Algorithm:	This measure is an unduplicated count of applications approved and denied, extracted from the FLORIDA System. It is the denominator of M0105, percent of all applications processed within time standards.
Data Sources:	FLORIDA System
Validity:	This measure counts the number of applications that go through the eligibility determination process. It is an input measure for

	calculating other measures related to processed applications. The goal intention to increase the number can misdirect the processing activity as an increase may encourage quantity over quality. Conversely, a decrease may improve the score on measures that are percentages of success.
Reliability:	Inconsistencies in processing applications can occur when staff interprets eligibility guidelines differently.
History:	N/A
Comments:	N/A
Data Process:	The intake specialist interviews the applicant, obtaining all necessary information to determine eligibility. If some information is lacking, the client is allowed time to provide. The client signs and dates the application. The intake specialist enters application information into the FLORIDA System where eligibility is determined. A time stamp in FLORIDA System records when the application is received and disposed and whether the eligibility is approved or denied.

ES107

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES107**
MCode:	**M0107**
Measure Title:	Percent of food stamp benefits determined accurately
Population Title:	Persons who need economic assistance

Goal Direction:	Increase	***Collect Freq:***	Monthly on a federal FY basis
Report Freq:	Annual	***Data Storage:***	National Integrated Quality Control System; OIG web-based internal system

Measure Label:	Food Stamp accuracy rate
Contract Title:	N/A
Definition:	Food stamps are public assistance benefits disbursed electronically to eligible clients. Accuracy rate is defined as a review of a household's eligibility determination to verify that the determination and correct amount of benefits have been authorized and received. It is verified by Food Stamp case reviews conducted by the DCF Office of Quality Control (QC). Florida uses the National Integrated Quality Control System to transmit Florida data from QC to the US Department of Agriculture, Food and Nutrition Service on a monthly basis. The QC internal web-based system is used to collect and store data.
Algorithm:	For the districts, the measure is a percentage, calculated by taking the total dollar value of food stamp benefits provided accurately (numerator) and dividing by the total dollar value of food stamp benefits provided (denominator). For the state, the accuracy rate is weighted based upon district stratification.
Data Sources:	FLORIDA system, client interviews, and collateral contacts to verify information.
Validity:	QC conducts reviews according to a plan approved by the Food and Nutrition Service of the US Department of Agriculture. If a state's food stamp accuracy rate is lower than the national tolerance level for two consecutive years, the state is subject to federal monetary penalties.
Reliability:	Accuracy is calculated on a statewide basis; although the error rate is not reliable on a district basis, stratified oversampling allows the district data to be used for indication of problem areas.
History:	Food and Nutrition Services, U.S. Department of Agriculture.
Comments:	
Data Process:	Case analysts conduct monthly case reviews of a sample of cases drawn from FLORIDA. The sample plan, stratified by district to allow comparisons and identify problem areas, is approved by the USDA. Approximately 1900 cases are drawn annually or approximately 160 monthly for review. Data is entered into the QC internal web-based system. An annual report is published each February for the previous federal fiscal year and is available on-line at http://eww.dcf.state.fl.us/~osig/pubs_qc.shtml.

ES108

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES108**
MCode:	**M0108**
Measure Title:	Percent of cash assistance benefits determined accurately
Population Title:	Persons in need of economic assistance

Goal Direction:	Increase	***Collect Freq:***	Monthly on a federal FY basis
Report Freq:	Monthly	***Data Storage:***	Standardized Case Review System (SCR)

Measure Label:	Cash accuracy rate
Contract Title:	N/A
Definition:	Cash assistance is a benefit to eligible individuals for a limited time. Eligibility for cash assistance is based upon federal law requirements for TANF and refugee adults and families.
Algorithm:	The measure is a percentage, calculated by taking the total dollar value of cash assistance provided accurately (numerator) and dividing by the total dollar value of cash assistance provided (denominator) for the time period.
Data Sources:	FLORIDA System
Validity:	This measures the accuracy of the process used to determine the eligibility of cash assistance applicants. A sample approximates the performance of the total population; it is likely to contain some error. However, if the sample is selected in a way that every element in the population has an equal and independent chance of being selected, the amount of error can be estimated.

Reliability:	Reliability is dependent upon public assistance workers interpreting benefits requirements consistently across districts and reviewers applying equivalent standards in all monitorings.
History:	PB2 measure. Federal requirement was eliminated in 2002. In 2005, case reviews by QC were instituted again but on a limited basis and may be halted again after September 2006 due to workload and staffing cuts.
Comments:	The data have a three month lag (e.g., October data are reported in January) due to the length of the accuracy reviews (see below).
Data Process:	Applicants supply information that is then verified and entered into the FLORIDA System, which determines eligibility. QC conducts case reviews and verifies information provided by client and reviews eligibility determination and benefit calculation. The QC accuracy data is then supplied to the QC office for calculation of accuracy rate.

ES110

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES110**
MCode:	**M0110**
Measure Title:	Percent of suspected fraud cases referred that result in front-end fraud prevention savings
Population Title:	Florida Taxpayers

Goal Direction:	Increase	***Collect Freq:***	Daily
Report Freq:	Monthly	***Data Storage:***	ACCESS Integrity On-Line System

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Measure Label:	Fraud prevention cases referred that result in savings

Contract Title:	N/A
Definition:	Suspected fraud cases are those meeting specific error prone profiles such as expenses continually exceeding available income. Once identified, these cases are referred to a fraud unit for review. Savings are defined as benefits that are not issued because of the detection of client misrepresentation.
Algorithm:	Denominator: The total number of cases, which meet the error prone profiles that are referred for review. Numerator: The total number of cases that meet the error prone profiles that are referred for review that result in savings.
Data Sources:	ESS Fraud Prevention staff
Validity:	The intent of this measure is to ensure that significant effort is devoted to the proper use of taxpayer money to meet the needs of only those who are eligible. The threat to the validity of this measure is that the data is limited to only those cases that produce savings.
Reliability:	Central Office Quality Assurance and district staff both monitor local Fraud Units to validate that data is entered into the system correctly and accurately reflects individual employee and unit performance.
History:	Program was initiated by the Florida Legislature.
Comments:	N/A
Data Process:	When client-supplied application information is suspected of being fraudulent, the case is referred to Fraud Investigators for review. The password-protected information is entered into the ACCESS Integrity On-Line System.

ES111

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES111**
MCode:	**M0111**
Measure Title:	Dollars collected through Benefit Recovery
Population Title:	Persons who receive economic assistance

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	Benefit Recovery System

Measure Label:	Benefit Recovery dollars collected
Contract Title:	N/A
Definition:	Benefit Recovery dollars are monies collected by the department that have been issued through client misrepresentation or department/client error.
Algorithm:	The measure is a count, the sum of the dollar value collected on established benefit recovery claims.
Data Sources:	Benefit Recovery System (interfaces with FLORIDA)
Validity:	This measure shows the public that the department recoups the value of benefits issued in error.
Reliability:	The department's Benefit Recovery staff monitor the data in the Benefit Recovery System (BRS) on a routine basis.
History:	N/A
Comments:	N/A
Data Process:	Through the contractual agency, money is collected from those persons who are not currently receiving benefits. Departmental Benefit Recovery staff offset debt owed from clients currently receiving benefits.

ES112

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES112**
MCode:	**M0112**
Measure Title:	Number of fraud prevention investigations completed
Population Title:	Persons who apply for economic assistance

Goal Direction:	Increase	***Collect Freq:***	Daily, weekly, monthly
Report Freq:	Monthly	***Data Storage:***	Front-end Fraud Prevention On-line System

Measure Label:	FFP investigations completed
Contract Title:	N/A
Definition:	Fraud is deception in order to secure an unlawful gain. Front-end Fraud Prevention, prior to benefit determination, is a review of client-supplied information that is suspected of containing fraudulent statements. An investigation is conducted to verify and document the facts.
Algorithm:	The measure is a count of the suspected fraud case investigations.
Data Sources:	Departmental eligibility staff.
Validity:	This measure shows the public that an effort is being made to prevent ineligible individuals from receiving benefits to which they are not entitled.

Reliability:	Departmental staff are provided with training and written guidance in identifying possible fraudulent statements on an application for assistance. In addition, the department has established error prone profiles which are part of the modernized system. Applications meeting those identified criteria are referred to ACCESS Integrity staff for review and possible investigation. QA staff at the state level monitor each district's system annually.
History:	N/A
Comments:	N/A
Data Process:	ACCESS Integrity staff enter information concerning investigations into the ACCESS Integrity System on a daily basis.

ES114

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES114**
MCode:	**M0114**
Measure Title:	Percent of Optional State Supplementation (OSS) applications processed within time standards
Population Title:	Persons who are indigent and aged or disabled

Goal Direction:	Increase	**Collect Freq:**	Monthly
Report Freq:	Monthly	**Data Storage:**	Supplemental Payments System

Measure Label:	OSS applications processed timely
Contract Title:	N/A

Definition:	Optional State Supplementation (OSS) is a public assistance program administered by the ESS program office that provides payments to supplement the income of indigent elderly and disabled individuals. The time standards for processing are 45 (aged) and 90 (disabled) days.
Algorithm:	Denominator: The total number of OSS applications processed. Numerator: The number of OSS applications processed within 45 and 90 days.
Data Sources:	Applicants and departmental staff.
Validity:	This indicator measures the department's ability to respond timely to requests for assistance from families and individuals.
Reliability:	Internal quality reviews are completed on a sample of applications. These reviews validate the dates reported in the system.
History:	N/A
Comments:	N/A
Data Process:	Time stamps in the SPS (Supplemental Payment System) record when the application (paper or electronic) is received and disposed. Monthly, data is extracted from SPS to DB2 tables and is then sent to the ESS Datamart. ESS data unit staff query the datamart and retrieve the data.

ES115

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES115**
MCode:	**M0115**
Measure Title:	Number of applications processed for Optional State Supplementation payments
Population Title:	Persons who are indigent and aged or disabled

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Quarterly	***Data Storage:***	Supplemental Payment System

Measure Label:	Number of OSS applications
Contract Title:	N/A
Definition:	Optional State supplementation (OSS) is a public assistance program administered by ESS program office that provides payments to supplement the income of indigent elderly and disabled individuals. Processing an application entails interviewing the applicant, if possible, and reviewing the application and support documentation.
Algorithm:	The measure is a count of applications that have been processed.
Data Sources:	.
Validity:	Applications for public assistance are for persons with insufficient income who are indigent elderly or disabled. If applications are processed in which the client is ineligible for benefits, the validity of the measure is threatened.
Reliability:	A threat to reliability occurs when eligibility standards are interpreted differently by different reviewers.
History:	N/A
Comments:	N/A
Data Process:	ESS Staff enter information into SPS (Supplemental Payment System) when an application is received. Monthly, data is extracted from SPS to DB2 tables and is then sent to the ESS Datamart. ESS data unit staff query the datamart and retrieve the data.

ES119

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES119**
MCode:	**M0119**
Measure Title:	Number of cash assistance participants referred to the Regional Workforce Development Boards
Population Title:	Persons who need assistance to become employed

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	FLORIDA System

Measure Label:	Cash assistance participants referred to the Regional Workforce Development Boards.
Contract Title:	N/A
Definition:	Regional Workforce Development Boards are defined as local employment service providers. Cash assistance participants are defined as participants receiving TANF who have a work requirement as a condition of receipt of benefits.
Algorithm:	It is the total number of cash assistance participants referred to the regional workforce development boards.
Data Sources:	Departmental staff.
Validity:	This measure indicates the number of people referred to the Regional Workforce Development Boards for employment assistance.

Reliability:	Departmental staff monitor the FLORIDA system, training new public assistance workers in its use.
History:	N/A
Comments:	Previous wording: Number of WAGES participants referred to the local WAGES coalitions.
Data Process:	Departmental staff enter a work registration code for each cash assistance applicant. For those applicants whose work registration code is mandatory, the system generates an automatic referral to the appropriate Regional Workforce Development Board.

ES219

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES219**
MCode:	**M0219**
Measure Title:	Percentage of food assistance applications processed within 30 days
Population Title:	Persons applying for food stamps

Goal Direction:	Increase	***Collect Freq:***	Monthly on a federal FY basis
Report Freq:	Annual	***Data Storage:***	FLORIDA

Measure Label:	N/A
Contract Title:	N/A
Definition:	Application refers to electronic or paper forms submitted by individuals for Florida’s Food Assistance Program. Time standards are

	measured from date of application to date of approval. For Food Assistance the approval is to be processed within 30 days for all Non-Expedited Food Assistance cases. There are no days excluded from the 30 day standard for non-agency delays.
Algorithm:	Total of all Food Assistance applications approved in the month, excluding Non-Expedited and disaster Food Assistance applications. Numerator: The number of these applications that do not exceed the 30 day time standard.
Data Sources:	Economic Self-Sufficiency field staff
Validity:	This measure is an indicator of the system's success in increasing the self-sufficiency of food stamp recipient households.
Reliability:	Dependent on ESS field staff to recognize and code applications as expedited or regular.
History:	N/A
Comments:	N/A
Data Process:	ESS data unit staff calculate this measure from monthly FLORIDA data extracts.

ES223

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES223**
MCode:	**M0223**
Measure Title:	Percent of welfare transition sanctions referred by the regional work force boards executed within 10 days
Population Title:	Adults and their families who need assistance to become employed (WAGES participants) and Persons who are indigent and aged, disabled, refugees or eligible children

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Goal Direction: Increase ***Collect Freq:*** monthly

Report Freq:	N/A	***Data Storage:***	N/A

Measure Label:	Percentage of Welfare Employment and Transition Supports sanctions referred by the local Welfare Employment and Transition Support coalitions that are executed within 10 days
Contract Title:	N/A
Definition:	Welfare transition sanctions are required when work eligible TANF recipients do not meet their work requirement.
Algorithm:	The measure is a percent. The numerator is the number of sanctions imposed timely (10 calendar days). The denominator is the total number of sanction requests received by the Department of Children and Families.
Data Sources:	The data sources for this measure are reports from the Florida Department of Children and Family Services, and Florida On-line Recipient Integrated Data Access (FLORIDA) and the WAGES system.
Validity:	Section 414.105, Florida Statutes states that recipients "...shall receive temporary assistance for episodes of not more than 24 cumulative months in any consecutive 60 month period..." The percent of requested sanctions for failure to comply with work activity is an indirect measure of the desire outcome, "... work and gain economic self-sufficiency..." Timely sanctioning of non-compliant clients provides motivation to other clients to faithfully pursue their training and job search requirements. Additionally, sanctioning frees up training and job openings for more diligent applicants who are more likely to "Work and gain economic self-sufficiency." This measure does not account for sanction requests, which may not be imposed because the client does not meet criteria for sanctioning or the client qualifies for an appeal.
Reliability:	The data are derived from the data systems of the Florida Department of Children and Families. The systems are monitored for quality and reliability by personnel of the department as well as by the federal government. Additionally, new public assistance workers with the Department are given 10-12 weeks of training, 25-35% of which centers on the FLORIDA system.
History:	N/A
Comments:	N/A
Data Process:	N/A

ES305

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES305**
MCode:	**M0305**
Measure Title:	Number of cash assistance applications
Population Title:	

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	FLORIDA System

Measure Label:	Number of cash applications
Contract Title:	N/A
Definition:	Cash assistance application is defined as an electronic or paper request for public assistance benefits to provide financial assistance to eligible individuals.
Algorithm:	This is a count of applications processed to the point of determination of eligibility.
Data Sources:	Economic Self-Sufficiency staff
Validity:	This is a count of client (and prospective client) applications which indicates the number of clients and program workload that must be processed.
Reliability:	Data quality and reliability of the FLORIDA System are monitored by department data processing personnel.

History:	N/A
Comments:	N/A
Data Process:	Either the applicant or ACCESS worker enters the information electronically into the FLORIDA system. Monthly, data is extracted from the FLORIDA system to DB2 tables and is then sent to the ESS Datamart. ESS data unit staff then query the Datamart.

ES369

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES369**
MCode:	**M0369**
Measure Title:	Return on investment from fraud prevention/benefit recovery
Population Title:	Persons who need economic assistance

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	Front-end Fraud Prevention Fox-pro System

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Measure Label:	N/A
Contract Title:	N/A
Definition:	Fraud is deception in order to secure an unlawful gain. Front-end Fraud Prevention, prior to benefit determination, is a review of client-supplied information which is suspected of containing fraud and is referred to Investigators for verification and documentation of the

	facts.
Algorithm:	The measure is a dollar amount. It is determined from the sum of separate calculations of the ROI for the ACCESS Integrity Program and the Benefit Recovery Program.
Data Sources:	Front-end Fraud Prevention FoxPro data tracking system.
Validity:	Saving funds through front-end fraud prevention frees up funds for truly needy and builds program's integrity.
Reliability:	Savings calculations and FoxPro data input is strictly regulated in policy/procedures and adherence to policy/procedures is monitored.
History:	N/A
Comments:	N/A
Data Process:	When client supplied application information is suspected of containing fraudulent information, the case is referred to FFP investigators (prior to benefit determination) for verification and documentation of facts

ES5087

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES5087**
MCode:	**M05087**
Measure Title:	Percent receiving a diversion payment / service that remain off cash assistance for 12 months
Population Title:	Families and individuals in distressed / fragile health or circumstances.

Goal Direction: Increase ***Collect Freq:*** Monthly

Report Freq:	Monthly	***Data Storage:***	FLORIDA system

Measure Label:	Persons receiving a diversion payment who do not return to TANF within 12 months
Contract Title:	N/A
Definition:	Diversion payments are defined as lump sum TANF monies issued in lieu of ongoing monthly benefits with an agreement that the recipient will not request regular monthly TANF for at least three months. This measure is the percent of those diversion recipients who do not receive regular TANF for 12 months after receipt of the diversion payment.
Algorithm:	Denominator: Count payees who received a TANF diversion payment 12 months ago. Numerator: Of the above, a count of payees who have not participated in TANF since the diversion payment.
Data Sources:	Economic Self-Sufficiency staff.
Validity:	This measure identifies success in diverting families from enrolling in a monthly assistance program, a strategy in the Department's Strategic Plan. This may be an indication that these clients have become more self-sufficient.
Reliability:	Data reliability is dependent on ESS field staff coding the diversion payment accurately.
History:	N/A
Comments:	N/A
Data Process:	ESS field staff enter information directly into the FLORIDA system. Monthly, data is extracted from the FLORIDA system to DB2 tables and is then sent to the ESS Datamart. ESS data unit staff then query the Datamart.

ES5088

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES5088**
MCode:	**M05088**
Measure Title:	Percent of All Family TANF customers participating in work or work-related activities
Population Title:	Families and individuals in distressed / fragile health or circumstances.

Goal Direction:	Increase	***Collect Freq:***	Continuously
Report Freq:	Monthly	***Data Storage:***	AWI OSST system

Measure Label:	Work Participation rate
Contract Title:	N/A
Definition:	Similar to the Federal Work Participation Rate, this measure calculates the percent of TANF adults with a work participation requirement who are meeting the required number of work participation hours each month.
Algorithm:	Denominator: The number of eligible TANF adults with a work participation requirement. Numerator: The number of those participating in allowable work activities for the required number of hours each month.
Data Sources:	Regional Work Force Board field staff.
Validity:	This measure identifies success in increasing self-sufficiency of TANF adults, a strategy intended to further the mission of the agency.
Reliability:	Data reliability is dependent on WFB staff accurately entering work and work related activities coding into the AWI OSST system and

	ESS field staff accurately recording work participation requirement code in FLORIDA.
History:	The Federal Work Participation rate has been calculated and reported to HHS since the 90's.
Comments:	This data is posted quarterly 45 days after the close of a quarter. This corresponds to the date the report is submitted to ACF. The data for January - March 2006 will be posted on or around May 15, 2006.
Data Process:	ESS field staff enter a work participation requirement code in FLORIDA. A referral is generated to the WFB. WFB field staff enter data to OSST. ESS program office data unit extracts applicable data monthly and calculates participation rate quarterly.

ES5089

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES5089**
MCode:	**M05089**
Measure Title:	Percent of work able food stamp customers participating in work or work-related activities
Population Title:	Families and individuals in distressed / fragile health or circumstances.

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	FLORIDA system

Measure Label:	Percent participating in work related activities
Contract Title:	N/A

Definition:	Work able food stamp customers are defined as assistance groups receiving food stamps with a member(s) who meets work able criteria. Assistance groups are defined as individuals in the standard filing unit who are potentially eligible for benefits. Standard filing unit is defined as all individuals whose income and/or assets, and sometimes needs, are considered in the determination of eligibility for food stamps. Work able is defined as meeting the following criteria: age 18-59 and not pregnant, disabled, caring for a child under age six or attending school. Work or work-related activities are defined as working 30 hours per week or having earnings equal to 30 hours times the state minimum wage.
Algorithm:	The denominator is the number of food stamp assistance groups with at least member who has a mandatory work requirement or who has at least one member with earnings greater than or equal to 30 hours times the state minimum wage. The numerator is the number of those assistance groups who have at least one member with earnings greater than or equal to 30 hours times the minimum wage.
Data Sources:	Economic Self-Sufficiency field staff
Validity:	This measure is an indicator of the system's success in increasing the self-sufficiency of food stamp recipient households.
Reliability:	The data is checked by Quality Assurance staff.
History:	N/A
Comments:	N/A
Data Process:	Economic Self-Sufficiency field staff code food stamp recipients as either work participation required or not, based on information provided in the application. They also record client reported and employer verified earnings into the FLORIDA system. Monthly, data is extracted from the FLORIDA system to DB2 tables and is then sent to the ESS Datamart. ESS data unit staff then query the Datamart.

ES5136

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES5136**
MCode:	**M05136**
Measure Title:	Percent of applications completed by use of automation.

Population Title:	The Florida taxpayer...

Goal Direction:	Increase	***Collect Freq:***	Monthly
Report Freq:	Monthly	***Data Storage:***	FLORIDA system and the Intake Management System (IMS)

Measure Label:	Percent using the web application
Contract Title:	N/A
Definition:	Applications for public assistance are submitted through the mail, by fax, in person and via the web. This measure is the number of applications submitted via the web as a percentage of all applications submitted in the month.
Algorithm:	Denominator: The total number of applications for assistance received in the time period (excluding types of applications for which submission via the Web is not an option). Numerator: The number of those applications submitted via the web application.
Data Sources:	Customers and Economic Self-Sufficiency staff
Validity:	This measure is an indicator of the efficiency of the modernized Economic Self-Sufficiency application system.
Reliability:	All web applications contain an Internet Protocol (IP) address as a source. Faxed, mailed or other application sources do not affix an IP address to the application.
History:	N/A
Comments:	N/A
Data Process:	Economic Self-Sufficiency staff use the FLORIDA system and the IMS system to determine the number of web applications submitted during the reporting period.

ES678

Entity/Office:	60910706 : Welfare Transition and Employment Supports
CCode:	**ES678**
MCode:	**M0678**
Measure Title:	Percent of 2-Parent TANF customers participating in work or work related activities (2-Parent TANF Participation Rate).
Population Title:	Families and individuals in distressed / fragile health or circumstances.

Goal Direction:	Increase	***Collect Freq:***	Continuously
Report Freq:	Monthly	***Data Storage:***	AWI OSST system

Measure Label:	2-Parent Work Participation rate
Contract Title:	N/A
Definition:	Similar to the Federal Work Participation Rate, this measure calculates the percent of 2-parent TANF adults with a work participation requirement who are meeting the required number of work participation hours each month.
Algorithm:	Denominator: The number of eligible 2-parents TANF adults with a work participation requirement. Numerator: The number of those above participating in allowable work activities for the required number of hours each month.
Data Sources:	Regional Work Force Board field staff.
Validity:	This measure identifies success in increasing self-sufficiency of TANF adults, a strategy intended to further the mission of the agency.

Reliability:	Data reliability is dependent on WFB staff accurately entering work and work related activities coding into the AWI OSST system and ESS field staff accurately recording work participation requirement code in FLORIDA.
History:	The Federal Work Participation rate has been calculated and reported to HHS since the 90's.
Comments:	This data is posted quarterly 45 days after the close of a quarter. This corresponds to the date the report is submitted to ACF. The data for January - March 2006 will be posted on or around May 15, 2006.
Data Process:	ESS field staff enter a work participation requirement code in FLORIDA. A referral is generated to the WFB. WFB field staff enter data to OSST. ESS program office data unit extracts applicable data monthly and calculates participation rate quarterly.

ES733

1. Entity/Office: 60910706 : Welfare Transition and Employment Supports

CCode:	**ES733**
MCode:	**M0733**
Measure Title:	Percentage of food assistance applications processed within 7 days (expedited)
Population Title:	Persons applying for food stamps

Goal Direction:	Increase	***Collect Freq:***	Monthly on a federal FY basis
Report Freq:	Annual	***Data Storage:***	FLORIDA

Measure Label:	N/A

Contract Title:	N/A
Definition:	Application refers to electronic or paper forms submitted by individuals for Florida's Food Assistance Program. Time standards are measured from date of application to date of approval. For Expedited Food Assistance the approval is to be processed within 7 days. All other Food Assistance cases are to be approved within 30 days. There are no days excluded from the 7 day standard for non-agency delays.
Algorithm:	Total of all Food Assistance applications approved in the month, excluding Non-Expedited and disaster Food Assistance applications. Numerator: The number of these applications that do not exceed the 30 day time standard.
Data Sources:	Economic Self-Sufficiency field staff
Validity:	This measure is an indicator of the system's success in increasing the self-sufficiency of food stamp recipient households.
Reliability:	Dependent on ESS field staff to recognize and code applications as expedited or regular.
History:	N/A
Comments:	N/A
Data Process:	ESS data unit staff calculate this measure from monthly FLORIDA data extracts.

B. Detail on Alternative Scoring

Score	Explanation	Numeric Value
	The alternative does not address the criteria	0
	The alternative minimally addresses the criteria	25
	The alternative moderately addresses the criteria	50
	The alternative highly addresses the criteria	75
	The alternative fully addresses the criteria	100

1. Alternative 1 – Three Year System Completion

Alternative 1 – Three Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
1	**Alignment with Goals**	• Alternative provides the best value in realizing system efficiency allowing the Department to be a good steward of dollars including advanced fraud and abuse tracking • Numerous initiatives directly affect the ability of customers to engage with the system leading to greater ease in become more self-sufficient • Frontline staff are provided numerous tools such as worker dashboard and auto closure to enhance daily productivity and remove error prone processes	• Stewardship	
			• Protect Vulnerable	
			• Family Recovery	
			• Communities	
			• Self-Sufficiency	
			• Frontline Staff	
			• Adaptability	
			AVERAGE SCORE :	
2	**Customer Value**	• Alternative supports the needs of the Department in the quickest timeframe and establishes a platform for future needs to be addressed in a timely and cost-effective manner further enabling DCF to continue providing value to Floridians in need	• Supports Evolving Needs	
			• Customer Experience	
			• Enables Relationships	
			• Protects Privacy	
			AVERAGE SCORE :	
			• Data Risk	

Alternative 1 – Three Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
3	**Risk Mitigation**	• Timing of conversion increases risk • The alternative carries a high amount of risk due to the short time horizon, complexity of initiatives being implemented, and high costs associated with the work • Risks are mitigated with the inclusion of project oversight in the form of a project management office and independent verification & validation • Benefits are expected to occur quickly after implementation with any delays in production causing a delay to benefit realization • New initiatives effectively mitigate litigation risk	• Resource Risk	
			• Implementation Risk	
			• Expected Benefit Risk	
			• Litigation Risk	
			• Fraud Risk	
			AVERAGE SCORE :	
4	**Technical Architecture**	• The system will be migrated off of the mainframe and allow for flexibility for future enhancements • The solution will fully meet industry standards and allow for the Department to be a leader • Architecture make it easier for Department staff to work with partners in addressing the needs of Floridians in need as well as freeing up resource hours due to efficiencies to work with partners	• Flexibility	
			• Future Demand	
			• Integration	
			• Value to Partners	
			• Meets Standards	
			AVERAGE SCORE :	

Alternative 1 – Three Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
5	**Business Alignment**	• Numerous initiatives will impact a significant number of business processes • Alternative addresses the initiatives and aligns DCF to achieve project goals and requirements • Business process changes will have a direct, positive impact on the Department's goal of stewarding effectively and efficiently	• Future Business Process	
			• Current Business Process	
			• Positive Impact	
			• Resource Capacity	
			AVERAGE SCORE :	
6	**Data Architecture**	• System will comply with all relevant DCF IT Security standards and any overarching federal security regulations • The system will implement industry standard interface methodologies	• Data Structure	
			• Data Security	
			• Data Sharing	
			• Data Analytics	
			AVERAGE SCORE :	
7	**Financial**	• Implementation costs associated with vendor contracts will be high for three fiscal years • After the three year timeline, the solution provides manageable operational costs and lowers many supporting costs • The solution has the highest NPV and the quickest payback of the three solutions with second best ROI	• One-time project costs	
			• Ongoing operational costs	
			• Tangible Benefits	
			• Intangible Benefits	
			• Financial Metrics	

Alternative 1 – Three Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
		and IRR	**AVERAGE SCORE :**	

2. Alternative 2 – Five Year System Completion

Alternative 2 – Five Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
1	**Alignment with Goals**	• Numerous initiatives directly affect the ability of customers to engage with the system leading to greater ease in become more self-sufficient • Frontline staff are provided numerous tools such as worker dashboard and auto closure to enhance daily productivity and remove error prone processes • Alternative is directly aligned with the goals of the Department and aid in empowering Floridians in need	• Stewardship	
			• Protect Vulnerable	
			• Family Recovery	
			• Communities	
			• Self-Sufficiency	
			• Frontline Staff	
			• Adaptability	
			AVERAGE SCORE :	
2	**Customer Value**	• Alternative supports the needs of the Department by addressing the initiatives and establishes a platform for future needs to be addressed in a timely and cost-	• Supports Evolving Needs	
			• Customer Experience	

Alternative 2 – Five Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
		effective manner	• Enables Relationships	
			• Protects Privacy	
			AVERAGE SCORE :	
3	**Risk Mitigation**	• The alternative carries a high amount of risk due to complexity of initiatives being implemented, high costs associated with the work, and coordination of multiple vendors • Risks are mitigated with the inclusion of project oversight in the form of a project management office and independent verification & validation • Benefits are expected to occur quickly after implementation with any delays in production causing a delay to benefit realization	• Data Risk	
			• Resource Risk	
			• Implementation Risk	
			• Expected Benefit Risk	
			• Litigation Risk	
			• Fraud Risk	
			AVERAGE SCORE :	
4	**Technical Architecture**	• The system will be migrated off of the mainframe and allow for flexibility for future enhancements • The solution will fully meet industry standards and allow for the Department to be a leader • Five year time line for upgrades delays the value	• Flexibility	
			• Future Demand	
			• Integration	
			• Value to Partners	

Alternative 2 – Five Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
		being delivered to partners and slows the integration process	• Meets Standards	
			AVERAGE SCORE :	
5	**Business Alignment**	• Numerous initiatives will impact a significant number of business processes • Alternative addresses the initiatives and aligns DCF to achieve project goals and requirements • Business process changes will have a direct and positive impact increasing resource capacity	• Future Business Process	
			• Current Business Process	
			• Positive Impact	
			• Resource Capacity	
			AVERAGE SCORE :	
6	**Data Architecture**	• System will comply with all relevant DCF IT Security standards and any overarching federal security regulations • The system will implement industry standard interface methodologies	• Data Structure	
			• Data Security	
			• Data Sharing	
			• Data Analytics	
			AVERAGE SCORE :	
7	**Financial**	• Mainframe costs do not decrease as quickly due to expanded timeline delaying the benefit • The alternative has the lowest financial metrics with	• One-time project costs	
			• Ongoing operational costs	
			• Tangible Benefits	

Alternative 2 – Five Year System Completion				
No.	**Evaluation Criteria**	**Rationale for Scoring**	**Factors**	**Score**
		a negative NPV and minimal ROI • Implementation costs associated with vendor contracts will be high for five fiscal years	• Intangible Benefits	
			• Financial Metrics	
			AVERAGE SCORE :	

C. Benefits Assumptions – Alternative 1

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
Business Functionality					
BF-01	Automated Data Processing	Streamlined worker portal process for greater efficiency through screen consolidation & automated population of case data	Cost Efficiency = # of Applications * Average Entry * Time Saved * Salary per Minute	· Number of Applications per year: 7.4M	Includes new applications, redeterminations, & additional benefits requests Adjusted for decreased application/renewal volume beginning in FY20-21 once Automatic Redeterminations & No Touch are implemented (1,951,175 applications & renewals per year)
				· Average Application Entry Time: 8 minutes	Current Process Average Duration
				· Time Saved per Application: 12.5% (1 minutes)	Subject matter expert's estimation based on current DCF process and efficiencies gained in similar state's Public Benefits implementations
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)
BF-02	Client Registration and Master Client Index	Streamlined worker portal process for greater efficiency through consolidation of client registration systems	Cost Efficiency = # of new Applications * Reg. Time * Time Saved	· Number of New Applications per year: 2.2M	Adjusted for decreased application volume beginning in FY20-21 once No Touch is implemented (950,00 applications per year)
				· Average Client Registration Time: 2 minutes	Current process average duration
				· Time Saved per Application: 15% (36 seconds)	Subject matter expert's estimation based on current DCF process and efficiencies gained in similar state's Public Benefits implementations
				· Interview Clerk Salary & Benefits: $0.33/minute	Average Interview Clerk salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
Business Functionality					
BF-03	Notices	Reduced mail costs through consolidation and decreased correspondence due to effectiveness of initial notices	Cost Efficiency = Mail Spend * Improvement / Consolidation %	· Yearly Mail Spend: $8.3M	Average annual mail spend
				· Improvement/Consolidation: 2%	Subject matter expert's estimation based on current DCF process and efficiencies gained in similar state's Public Benefits implementations
BF-03	Notices	Reduced customer confusion reduces unnecessary calls to the call center	Cost Efficiency = Call Volume * Calls Answered % * Noticed Call % * Call Reduction * Cost per Call	· Yearly CCC Call Volume: 7.8M	Number of calls forwarded to the CCC from the IVR
				· Percentage of Calls Answered: 82.01%	Percentage of all forwarded calls answered by the CCC
				· Notices Related Calls: 10%	Estimate based on CCC Survey
				· Call Reduction: 5%	Subject matter expert's estimation based on current DCF process and proposed solution functionality
				· Average Call Cost: $5.50	Average DCF labor allocation to an average answered phone call
BF-04	Automated and No Touch Processing	Increased automation and improved productivityReduced worker caseload	Cost Efficiency = Renewals * Automation % * Time Saved * Salary per Minute	· Number of Renewals per year: 3.7M	Includes only benefit renewals
				· Percentage of Renewals Eligible for Automation: 30%	Subject matter expert's estimation based on current DCF process and proposed solution functionality
				· Time Saved per Renewal:10 minutes	Subject matter expert's estimation based on current DCF process and proposed solution functionality
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 Salary for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-04	Automated and No Touch Processing	Increased automation and improved productivity Reduced worker caseload	Cost Efficiency = # of Applications * Incremental % * Time Saved * Salary per Minute	· Number of Applications per year: 7.4M	Includes new applications, redeterminations, & additional benefits requests
				· Incremental No-Touch: 25%	Subject matter expert's estimation based on current DCF process and proposed solution functionality (including all individual Medicaid cases and all SNAP/TANF/COMBO cases)
				· Time Saved per Application: 2 minutes	Subject matter expert's estimation based on current DCF process and proposed solution functionality
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-05	Worker Dashboard & DE View	Increased worker productivity and efficiency Improved monitoring of workload at worker, unit, or administrative level	Cost Efficiency = Time Saved * Days per Year * # of Employees per level * Salary per Minute	· ESS1 Time Saved per Day: 10 minutes · ESS Super. Time Saved per Day: 10 minutes · Operations Analyst Time Saved per Day: 30 minutes · Program Administrator Time Saved per Day: 30 minutes	Based on detailed survey results of caseworkers performed in the 2014 Operational & System Efficiency Study Lowest estimated time savings data point was used for benefit calculations Note: Calculations were performed at the Employee Role level and then were aggregated
				· Days Worked in a Year: 243.75	Number of working days when factoring in average time off
				· ESS1 Employees: 2,542 · ESS Super. Employees: 331 · Operations Analyst Employees: 189 · Program Administrator Employees: 43	Specific employee counts were used based on the number of workers directly interacting with the Worker Portal on a daily basis
				· ESS1 Salary & Benefits: $0.36/minute · ESS Super. Salary & Benefits: $0.47/minute · Ops Analysts Salary & Benefits: $0.52/minute · Program Administrator Salary & Benefits: $0.69/minute	Average role salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-05	Worker Dashboard & DE View	Increased worker productivity and efficiency Improved monitoring of workload at worker, unit, or administrative level	Automated Verification Cost Efficiency: # of Applications * Time Saved * Salary per Minute	· Number of Applications per year: 7.4M	Includes new applications, redeterminations, & additional benefits requests Adjusted for decreased application/renewal volume beginning in FY20-21 once Automatic Redeterminations & No Touch are implemented (1,951,175 applications & renewals per year)
				· Time Saved per Application: 1 minute	Based on detailed survey results of caseworkers performed in the 2014 Operational & System Efficiency Study Lowest estimated time savings data point was used for benefit calculations
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)
BF-06	Shared Customer Repository	Improved data quality by incorporating the most current data from all matched systems reducing discrepancies and duplication of benefits	Cost Efficiency = Access Integrity Cost Avoidance per Year * Productivity Improvement	· Access Integrity Cost Avoidance per Year: $31.3M	Cost avoidance metric from FY15-16
				· Productivity Improvement: 5%	Estimate based on other State agencies and departments that expect or have seen 50-75% fraud, waste, and abuse cost avoidance through consolidated & modernized eligibility analysis systems

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-07	MyAccount Enhancements	Reduced call center volume and lobby visits	Inquiry Lobby Visit Cost Efficiency = Inquiry Lobby Visits per Year * Lobby/CCC Shift * Household Internet % * Application Status Visits/Calls % * Escalation % * Time Saved * Salary per Minute	· Yearly Inquiry Lobby Visits: 114,424	Subject matter expert's estimation based on current DCF process and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Lobby/CCC Shift - Year 1: 2.5% · Lobby/CCC Shift - Year 2:.5.0% · Lobby/CCC Shift - Year 3: 7.5% · Lobby/CCC Shift - Year 4-10: 10%	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Percentage of Households with Internet: 50%	Based on 2012 CCC Survey
				· Percentage of Calls/Visits for Application Status: 21%	Based on 2015/2016 CCC Call Type Survey
				· Percentage of Escalations to ESS 1: 17% · Percentage of Escalations to ESS 2: 17% · Percentage of Escalations to IC: 100%	Subject matter expert's estimation based on current DCF process and input from Region Offices for the 2014 Operational & System Efficiency Study
				· ESS 1 Time Saved: 15 minutes per visit · ESS 2 Time Saved: 15 minutes per visit · Interviewing Clerk Time Saved: 6.78 minutes per visit	Based on detailed survey results of caseworkers performed in the 2014 Operational & System Efficiency Study Note: Calculations performed at the Employee Role level and then were aggregated.
				· ESS1 Salary & Benefits: $0.36/minute · ESS2 Salary & Benefits: $0.42/minute · Interviewing Clerk Salary & Benefits: $0.33/minute	Average role salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-07	MyAccount Enhancements	Reduced call center volume and lobby visits	Document Lobby Visit Cost Efficiency = Document Lobby Visits per Year * Lobby/CCC Shift * Household Internet % * Time Saved * Salary per Minute	· Yearly Document Lobby Visits: 588,890	Subject matter expert's estimation based on current DCF process and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Lobby/CCC Shift - Year 1: 2.5% · Lobby/CCC Shift - Year 2:.5.0% · Lobby/CCC Shift - Year 3: 7.5% · Lobby/CCC Shift - Year 4-10: 10%	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Percentage of Households with Internet: 50%	Based on 2012 CCC Survey
				· Interviewing Clerk Time Saved: 3.66 minutes per visit	Based on detailed survey results of caseworkers performed in the 2014 Operational & System Efficiency Study
				· Interviewing Clerk Salary & Benefits: $0.33/minute	Average Interview Clerk salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-07	MyAccount Enhancements	Reduced call center volume and lobby visits	Call Center Reduction Cost Efficiencies = Call Center Volume * Call Answer % * Lobby/CCC Shift * Household Internet % * Application Status Visits/Calls % * Time Saved * Salary per Minute	· Yearly CCC Call Volume: 7.8M	Number of calls forwarded to the CCC from the IVR
				· Percentage of Calls Answered: 82%	Percentage of all calls forwarded by the IVR answered by the CCC
				· Lobby/CCC Shift - Year 1: 2.5% · Lobby/CCC Shift - Year 2:.5.0% · Lobby/CCC Shift - Year 3: 7.5% · Lobby/CCC Shift - Year 4-10: 10%	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Percentage of Households with Internet: 50%	Based on 2012 CCC Survey
				· Percentage of Calls/Visits for Application Status: 21%	Based on 2015/2016 CCC Call Type Survey
				· ESS 1 Time Saved: 5.6 minutes per call	Based on detailed survey results of caseworkers performed in the 2014 Operational & System Efficiency Study
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-07	MyAccount Enhancements	Reduced time spent imaging documents as they are submitted and the time caseworkers spend searching for documents	Document Search Cost Efficiencies = Pended Applications per Year * Level Search Time * % of Applications Searches by Level * Search Improvement * Salary per Minute	· Yearly Pended Applications: 3,682,372	Number of pended applications per year
				· ESS 1 Search Time: 17.92 minutes per application · ESS 2 Search Time: 7.13 minutes per application · Interviewing Clerk Search Time: 12.00 minutes per application	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study Note: Calculations performed at the Employee Role level and then were aggregated
				· ESS1 Application Search Percentage: 80% · ESS2 Application Search Percentage: 5% · Interviewing Clerk Application Search Percentage: 15%	Subject matter expert's estimation based on current DCF process and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Search Improvement: 10%	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study
				· ESS1 Salary & Benefits: $0.36/minute · ESS2 Salary & Benefits: $0.42/minute · Interviewing Clerk Salary & Benefits: $0.33/minute	Average role salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-07	MyAccount Enhancements	Reduced time spent imaging documents as they are submitted and the time caseworkers spend searching for documents	Imaging Reduction Cost Efficiencies = # of Documents Received per Year * Mail to Upload Shift per Year % * Internet/Scanner % * Imaging Efficiencies * Imaging Salary per Minute	· Regular Mail Documents Received per Year: 573,091	Subject matter expert's estimation based on current DCF process and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Mail to Upload Shift - Year 1: 2.5% · Mail to Upload Shift - Year 2:.5.0% · Mail to Upload Shift - Year 3: 7.5% · Mail to Upload Shift - Year 4-10: 10%	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Customers With Internet & Scanner: 10%	Subject matter expert's estimation based on current DCF process and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Imaging Efficiencies: 1.92 minutes per document	Subject matter expert's estimation based on current DCF process, proposed solution functionality, and input from Region Offices for the 2014 Operational & System Efficiency Study
				· Imaging Salary: = $0.21/minute	Averaging Imaging Contractor hourly rate
BF-08	Mobile Application & Upload	Reduced call center volume Reduced amount of work needed to be completed by the worker	Cost Efficiency = Call Volume * Call Answer % Application Status Call % * Call Reduction * Cost per Call	· Yearly CCC Call Volume: 7.8M	Number of calls forwarded to the CCC from the IVR
				· Percentage of Calls Answered: 82.01%	Percentage of all forwarded calls answered by the CCC
				· Percentage of Calls/Visits for Application Status: 21%	Based on 2015/2016 CCC Call Type Survey
				· Call Reduction: 1%	Subject matter expert's estimation based on current DCF process and the proposed solution functionality
				· Average Call Cost: $5.50	Average DCF labor allocation to an average answered phone call

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
BF-08	Mobile Application & Upload	Reduced amount of work needed to be completed by the worker	Cost Efficiency = Indexing Effort * Time Saved * (Imaging Salary/60 minutes)	· Indexing Effort per year: 2.7M minutes	Current indexing effort by the 23 imaging contractors across a year (243.75 days * 8 hours * 60 minutes) Adjusted as the "MyAccount Enhancements" initiative fully phases in (incrementally increasing adjustment to 11,003 minutes in FY19-20 and staying at that level for the remainder of the analysis)
				· Time Saved: 25%	Subject matter expert's estimation based on current DCF process and the proposed solution functionality
				· Average Imaging Contractor Salary: $12.74/hour	Current contracted hourly rate for Imaging staff
BF-09	Real-Time Web Services	Improved timeliness and accuracy through real-time verification of customer data	CCIS Cost Efficiency = Inquiries * Inquiry Time * Salary per Minute	· Annual CCIS Inquiries: 2.3M	Annual inquiries to Clerk of Court for case information
				· Manual Inquiry Time: 3 minutes	Subject matter expert's estimation based on current DCF process
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)
BF-09	Real-Time Web Services	Improved timeliness and accuracy through real-time verification of customer data	DAVID Cost Efficiency = Inquiries * Inquiry Time * Salary per Minute	· Number of DAVID Inquiries: 2.2M	Annual inquiries to Department of HSMV
				· Manual Inquiry Time: 1.5 minutes	Subject matter expert's estimation based on current DCF process
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)
BF-10	Error and Fraud Prone Profiles	Reduced manual intervention through improved alert and work management functionality	Cost Efficiency = # of new Applications * Time Saved * Salary per Minute	· Number of New Applications per year: 2.2M	Includes SNAP & TANF cases given the current policy around application flagging
				· Time Saved per Application: 2 minutes	Subject matter expert's estimation based on current DCF process and the proposed solution functionality
				· ESS1 Salary & Benefits: $0.36/minute	Average ESS1 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
Information and Data					
DI-01	Integrated Imaging	Integrated document imaging system with worker portal solution to provide seamless access to updated documents	Cost Efficiency = Days per Year * Docs/Day * Processing Time * Salary per Minute	· Days Worked in a Year: 243.75	Number of working days when factoring in average time off
				· Average Documents per day: 36K	Averaged documents imaged per day in FY15-FY16
				· Average Processing Time: 0.33 minute (20 seconds)	Subject matter expert's estimation based on current DCF process and the proposed solution functionality
				· Blended Salary & Benefits: $0.39/minute	Blended rate assumes a weighted average of ESS1, ESS2, Interview Clerks, Operations Analysts, and ESS/QC Supervisors based on their current time spent searching for images within the system. Average role salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)
DI-02	Quality Management System	Increased productivity by simplifying the process for sampling/reading records and compiling data and no longer requiring staff to switch between separate systems	Tier I Cost Efficiency = # of Manually Added Cases * Manual Add Time * Months per Year * # of Caseworkers * Salary per Minute	· Number of Cases Manually Added per ESS1: 2	Tier I Review consists of a ESS2 Designated Readers sampling five cases per case worker per month (of which two must manually sampled and added to the reader's queue)
				· Time to Manually Add a Case: 5 minutes	Average time to sample and manually add a case
				· Number of ESS1 Caseworkers: 2,568	Current ESS1 Employees
				· ESS2 Salary & Benefits: $0.42/minute	Average ESS2 salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)
DI-02	Quality Management System	Increased productivity by simplifying the process for sampling/reading records and compiling data and no longer requiring staff to switch between separate systems	Tier 2 Cost Efficiency = Manually Added Cases * Months per Year * Manual Add Time * Salary per Minute	· Number of Cases Manually Added per month: 800	Tier II Review consists of a ESS Supervisor Designated Reader sampling cases for each Tier I Designated Reviewer
				· Time to Manually Add a Case: 5 minutes	Average time to sample and manually add a case
				· ESS Super. Salary & Benefits: $0.47/minute	Average ESS Super. salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
DI-03	Benefit Recovery Redesign	Reduced disposition processing times through greater integration and consolidation of relevant recovery investigation data. A decrease in disposition processing increases benefit recovery through claim establishment and, ultimately, collection	Cost Efficiency = # of Referrals Disposed * Productivity Improvement % * Average Claim Amount * Claim Establishment % * Collection %	· Referrals Disposed per Year: 40,413	FY15-16 OPBI Performance Metric
				· Productivity Improvement: 25%	A Stephen Group study from 2013 suggested 60% of BR time is spent navigating between systems. In line with that study, a conservative Subject Matter Expert estimate of 25% percent improvement in referral disposition was determined based on the current DCF process and the proposed solution functionality.
				Average Claim Amount: $1,451	FY15-16 OPBI Performance Metric
				Claim Establishment Percentage: 54.70%	FY15-16 OPBI Performance Metric
				Collection Percentage: 54.87%	FY15-16 OPBI Performance Metric
DI-04	Fraud & Abuse Tracking	Improved coding to analyze and prioritize fraud referrals; increased productivity of fraud investigations due to improved referrals, availability of all relevant information, and decreased manual processes through an expanded view of fraudulent activity	Cost Efficiency = # of Open Cases Dropped by DPAF * Claim Establishment % * Collection % * Average Benefit Amount per Month * Months Gained	Open Cases Dropped by DPAF per Year: 12,761	FY15-16 OPBI Performance Metric
				Claim Establishment Percentage: 54.70%	FY15-16 OPBI Performance Metric
				Collection Percentage: 54.87%	FY15-16 OPBI Performance Metric
				Weighted Average Benefit Per Claim Per Month: $129.99	FY15-16 OPBI Performance Metric
				Months Gained: 1	Subject matter expert's estimation based on current DCF process and proposed solution functionality
DI-05	Data Analysis Tools	Increased automatic identification of potential fraud and misuse of benefits before benefits are approved Note: Cost avoidance will be dependent on AI having sufficient staff to investigate all identified fraud referrals	Cost Efficiency = Access Integrity Cost Avoidance per Year * Productivity Improvement	· Access Integrity Benefit Cost Avoidance per Year: $31.2M	Cost avoidance metric from FY15-16
				· Productivity Improvement: 15%	Estimate based on other State agencies and departments that expect or have seen 50-75% fraud, waste, and abuse cost avoidance through consolidated & modernized eligibility analysis systems

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
Architecture					
A-01	Single Sign-On	Reduced time spent creating, resetting, & entering passwords for the worker for eight systems	Cost Efficiency = Days * Time Saved * Level Salary per Minute * # of Employees per Level	· Days Worked in a Year: 243.75	Number of working days when factoring in average time off
				· Time Saved per day: 10 minutes across 8+ systems	Subject matter expert's estimation based on current DCF process and proposed solution functionality
				· ESS1 Employees: 2,542 · ESS2 Employees: 432 · ESS Super. Employees: 331	Current ESS1, ESS2, & ESS Supervisor employee counts were used as they would benefit most from the proposed functionality Note: Calculations performed at the Employee Role level and then were aggregated.
				· ESS1 Salary & Benefits: $0.36/minute · ESS2 Salary & Benefits: $0.42/minute · ESS Super. Salary & Benefits: $0.47/minute	Average role salary/benefits for a year divided by total minutes in a year (243.75 days * 8 hours * 60 minutes)

Ref.	High Priority System Initiative	Benefit	Calculation Methodology	Key Variables & Assumptions	Details & Rationale
Maintenance and Support					
MS-01	Rules Engine Completion	Reduced costs of implementing eligibility and standard filing unit changes	Cost Efficiency = Programming Hours * Programming Cost per Hour	· Eligibility Programming Hours per Year: 1,000	Current effort to update eligibility rules in the legacy system
				· Programming Cost per Hour: $110.00	Blended hourly rate of SI programming and overall change management
MS-02	Reports Migration	Reduced costs of implementing changes to the legacy Data & Reports system	Cost Efficiency = Programming Hours * Programming Cost per Hour	· Eligibility Programming Hours per Year: 2,000	Current effort to update eligibility rules in the legacy system
				· Programming Cost per Hour: $110.00	Blended hourly rate of SI programming and overall change management
MS-03	Near Real-Time Access To Client Data	Reduced cost of supporting nightly FLODS extracts	Cost Efficiency = Programming Hours * Programming Cost per Hour	· Eligibility Programming Hours per Year: 1000	Current effort to update eligibility rules in the legacy system
				· Programming Cost per Hour: $110.00	Blended hourly rate of SI programming and overall change management
MS-04	Infrastructure Update	Reduced the costs of hosting and supporting the mainframe at AST	Cost Efficiency = (ACCESS Mainframe Costs / ACCESS %) * Savings %	· Annual ACCESS Mainframe Spend: 11.3M	Current AST Mainframe spend for ACCESS
				· ACCESS Percentage of Total DCF Mainframe Spend: 70%	Cost allocation percentage for ACCESS
				· Estimated Savings: 30%	Subject matter expert's estimation based on current DCF process and proposed capacity/software reductions to the mainframe

D. Cost Assumptions – Alternative 2

Cost Area	Cost Assumption
Project Management	Due to changes in total annual project costs as PM is a straight 8% of total annual project costs.
Project Oversight	Due to changes in total annual project costs as oversight is a straight 2% of total annual project costs.
Consultants/Contractors DDI	**Year 1:** Reduction due to moving activities to Year 2 and not having DDI start until mid-year.
	Year 2: Increase due to adding activities to Year 2.
	Year 3: Decrease over Year 2 due to fewer activities.
Consultants/Contractors M&O - Core	Removed all Year 4 costs.
Hosting	The CBA is neutral to hosting costs (i.e., assuming no change). Subsequent Cloud studies will provide insight into impacts to hosting costs.
Hardware	No changes.
Commercial Software	**Year 1:** Reduced as costs shifted to Year 2 due to more activities, but relatively high amount reflects upfront costs.
	Year 2: Increase due to more activities in Year 2.
	Year 3: Decrease over Year 2 due to fewer activities, and many upfront costs already incurred.
Change Management	Due to changes in total annual project costs as change management is a straight 2% of total annual project costs.
MARS-E	MARS-E was not part of the previous Schedule IV-Bs.

E. Risk Assessment Tool Expansion

The following exhibits represent the detailed responses to the Risk Assessment for Alternative 1.

Strategic

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

Technology

Agency: Department of Children and Families | Project: ACCESS System Completion

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

Change Management

Agency: Department of Children and Families | Project: ACCESS System Completion

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

Communication

Agency: Agency Name			Project: Project Name
Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

Fiscal

Agency: Department of Children and Families | Project: ACCESS System Completion

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than $10 M
		Greater than $10 M	
		Between $2 M and $10 M	
		Between $500K and $1,999,999	
		Less than $500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from other state agencies
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested but not received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	More than 5 years
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

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

Project Organization Area

Agency: Department of Children and Families Project: ACCESS System Completion

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

Agency: Department of Children and Families Project: ACCESS System Completion

	Section 7 -- Project Management Area		
	agency successfully used the selected project management methodology?	1-3 More than 3	More than 3
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None Some All or nearly all	Some
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all have been defined and documented	41 to 80% -- Some have been defined and documented
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all have been defined and documented	0% to 40% -- None or few have been defined and documented
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable 41 to 80% -- Some are traceable 81% to 100% -- All or nearly all requirements and specifications are traceable	41 to 80% -- Some are traceable
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented Some deliverables and acceptance criteria have been defined and documented All or nearly all deliverables and acceptance criteria have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required Only project manager signs-off Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level 41 to 80% -- Some have been defined to the work package level 81% to 100% -- All or nearly all have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes No	Yes
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes No	Yes
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting Project team uses formal processes Project team and executive steering committee use formal status reporting processes	Project team and executive steering committee use formal status reporting processes
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available Some templates are available All planning and reporting templates are available	All planning and reporting templates are available
7.14	Has a documented Risk Management Plan been approved for this project?	Yes No	Yes
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented Some have been defined and documented All known risks and mitigation strategies have been	Some have been defined and documented
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes No	Yes
7.17	Are issue reporting and management processes documented and in place for this project?	Yes No	Yes

Complexity

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

F. Cloud Assessment

Placeholder for ACCESS System Cloud Assessment to be completed December 2018.

G. Glossary

Acronym	Definition
ACA	Affordable Care Act
ACCESS	Automated Community Connection to Economic Self-Sufficiency
ACF	Administration for Children and Families
ADA	Americans with Disabilities Act
ADI	ACCESS Document Imaging
AHCA	Agency for Health Care Administration
AIP	ACCESS Integrity Program
AMS	ACCESS Management System
APD	Agency for Persons with Disabilities
ARU	ACCESS Response Unit
AST	Agency for State Technology
BRE	Business Rules Engine
CAMS	Child Support Enforcement Automated Management System
CBA	Cost Benefit Analysis
CBC	Community Based Care
CCB	Change Control Board
CCC	Customer Call Centers
CCIS	Comprehensive Case Information System
CEFP	Certified Educational Facility Planner
CFR	Code of Federal Regulations
CHIP	Children's Health Insurance Program
CIO	Chief Information Officer
CMS	Center for Medicaid and Medicare

Acronym	Definition
CMSN	Children's Medical Services
CMU	Case Maintenance Units
COBOL	Common Business Oriented Language
COTS	Commercial Off-the-Shelf
CPN	Community Partner Network
CPTS	Community Partner Tracking System
CPU	Control Processing Unit
DACS	Department of Agriculture and Consumer Services
DAVID	Driver and Vehicle Information Database
DCF	Department of Children and Families
DEO	Department of Economic Opportunity
DFS	Department of Financial Services
DHS	Department of Homeland Security
DHSMV	Department of Highway Safety and Motor Vehicles
DMS	Department of Management Services
DOC	Department of Corrections
DOE	Department of Education
DOEA	Department of Elder Affairs
DOH	Department of Health
DOL	Department of Labor
DOR	Department of Revenue
DPAF	Department of Public Assistance Fraud
EBT	Electronic Benefits Transfer
EDBC	Eligibility Determination Benefit Calculation
EDR	Economic and Demographic Research

Acronym	Definition
EFA	Emergency Food Assistance
EMS	Exception Management System
EMT	Executive Management Team
EOG	Executive Office of the Governor
ESB	Enterprise Service Bus
ESS	Economic Self-Sufficiency
ETL	Extract Transformation and Load
FDLE	Florida Department of Law Enforcement
FDSH	Federal Data Services Hub
FEMA	Federal Emergency Management Agency
FFF	Food for Florida
FFM	Federally Facilitated Marketplace
FFP	Federal Financial Participation
FHK	Florida Healthy Kid's
FHKC	Florida Healthy Kid's Corporation
FICON	Fiber Connections
FIPS	Federal Information Processing Standard
FLODS	Florida Operational Data Store
FMMIS	Florida Medicaid Management Information System
FNS	Food and Nutrition Service
FSFN	Florida Safe Families Network
FTP	File Transfer Protocol
HHS	Health and Human Services
HIPAA	Health Insurance Portability and Accountability
IBM	International Business Machines Corporation

Acronym	Definition
IBRS	Integrated Benefit Recovery System
ICF	Internal Coupling Facility
IFL	Integrated Facilities for Linux
IMS	Information Management System
IRR	Internal Rate of Return
IRS	Internal Revenue Service
ISC	Inter System Channel
ITN	Invitation to Negotiate
IVR	Interactive Voice Response system
LBC	Legislative Budget Commission
LBR	Legislative Budget Request
LRPP	Long-Range Program Plan
MAGI	Modified Adjusted Gross Income
MARS	Minimum Acceptable Risk Standards
MDM	Master Data Management
MEC	Minimum Essential Coverage
MES	Medicaid Eligibility System
MIPS	Million Instructions Per Second
MITA	Medicaid Information Technology Architecture
NAC	National Accuracy Clearinghouse
NHSIA	National Human Services Interoperability Architecture
NIST	National Institute of Standards and Technology
NPV	Net Present Value
OAG	Office of the Attorney General
OCM	Organizational Change Management

Acronym	Definition
OCSE	Office of Child Support Enforcement
OEL	Office of Early Learning
OMB	Office of Management and Budget
OPS	Other Personal Services
PAF	Public Assistance Fraud
PARIS	Public Assistance Reporting Information System
PBI	Public Benefits Integrity
PMI	Project Management Institute
PMO	Project Management Office
PSC	Public Service Commission
QMS	Quality Management System
RIDP	Remote Identity Proofing
RMP	Risk Management Plan
ROI	Return On Investment
SAMH	Substance Abuse and Mental Health
SAO	State Attorney's Office
SNAP	Supplemental Nutrition Assistance Program
SOA	Service-Oriented Architecture
SOP	Standard Operating Procedures
SQL	Structured Query Language
SSA	Social Security Administration
SSN	Social Security Number
SSP	Self Service Portal
TANF	Temporary Assistance for Needy Families
TBD	To Be Determined

Acronym	Definition
UAT	User Acceptance training
USDA	United States Department of Agriculture
VIU	Virtual Intake Units
VLP	Verified Lawful Presence
WIC	Women, Infants, and Children
YTD	Year-To-Date

Enhancing Family Safety through Florida Safe Families Network Services Modules Improvements

For Fiscal Year 2017-18

October __, 2016

FLORIDA DEPARTMENT OF CHILDREN AND FAMILIES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date:
Project Name: Enhancing Family Safety through Florida Safe Families Network Services Modules Improvements	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2017-18 LBR Issue Code:	FY 2017-18 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Kiran Garimella, 850-717-4769, kiran.garimella@myflfamilies.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Mike Carroll	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Joe Vastola	Date:
Budget Officer: Printed Name: Kimberly McMurray	Date:
Planning Officer: Printed Name: Kiran Garimella	Date:
Project Sponsor: Printed Name: JoShonda Guerrier	Date:

Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Alissa Cross, 850-717-4653, alissa.cross@myflfamilies.com
Cost Benefit Analysis:	Cyndi Godbey, 850-320-9107, Cynthia.godbey@myflfamilies.com Alissa Cross, 850-717-4653, alissa.cross@myflfamilies.com
Risk Analysis:	Cyndi Godbey, 850-320-9107, Cynthia.godbey@myflfamilies.com Alissa Cross, 850-717-4653, alissa.cross@myflfamilies.com
Technology Planning:	Kiran Garimella, 850-717-4769, kiran.garimella@myflfamilies.com
Project Planning:	Elisa Cramer, 850-717-4696, elisa.cramer@myflfamilies.com Kiran Garimella, 850-717-4769, kiran.garimella@myflfamilies.com

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

A. Background and Strategic Needs Assessment

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

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

This is rooted in a sound knowledge base and a practice approach that is safety-focused, family-centered, and trauma-informed (see Figure 1).

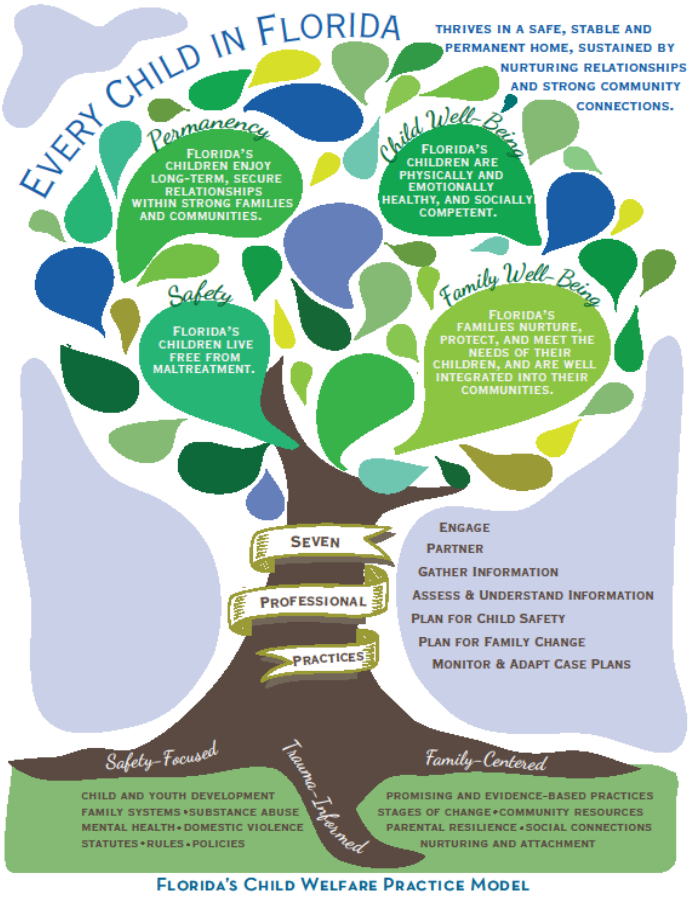


Figure 1

In 2005, Florida completed a transition to a Community Based Care (CBC) child welfare model, outsourcing case management services to private providers in local communities. With this new service delivery model, the Legislature found it critical to implement a statewide information system to ensure the consistent delivery of child welfare services across the state of Florida. The Florida Legislature established the Florida Safe Families Network (FSFN) in partnership with the federal Children's Bureau as the state's official Statewide Automated Child Welfare Information System (SACWIS). FSFN is the single information repository for all child welfare casework containing 30 years of data for more than 8,000,000 people. Used by 15,000 child welfare professionals and partners, FSFN is Florida's comprehensive and systematic information technology solution to managing the care of at-risk children and family members.

In January 2011, the tragic death of Nubia Barahona, as well as the abuse suffered by her and her brother, Victor, spurred a comprehensive review of Florida's child welfare system. As a result of this review, the Department began the Child Protection Transformation Project to implement significant improvements to the Child Welfare Program. These improvements required changes to business processes and the supporting technology. Most notable of these changes was the incorporation of the Safety Methodology framework into Florida's Child Welfare Practice Model and the changes to FSFN to support this practice. The practice model is the foundation for the Department to achieve the goals of safe, permanent, and healthy children and families, and FSFN is the technology necessary to support the knowledge-sharing and critical decision-making necessary to the Department's practice.

The Department continues to work with CBC Lead Agencies and other partners to make system changes that can improve the user's experience and ensure the adoption and use of FSFN is consistent with the Child Welfare Practice Model.

1. Business Need

A key component of child welfare is ensuring that families receive services to keep children safe and ameliorate the concerns that required intervention from the child welfare system. Through the development of Florida's Child Welfare Practice Model, the Department has made efforts to align its service array with practice to ensure that families receive the right services, at the right time, and at the right level of intervention so that they can achieve the right outcomes. The ability to match families to the right services and then monitor and evaluate the effectiveness of those services is key to this alignment. In order to ensure this occurs, it is important that FSFN, the system of record, can accurately reflect the services delivered to a family.

Additionally, Chapter 409, Florida Statutes, requires the Department to ensure comprehensive oversight of the programmatic, administrative, and fiscal operation of the CBC lead agencies that have assumed responsibility for the care of children in the child welfare system. In 2015, the Florida Legislature introduced the requirements for the Department to develop a results oriented accountability program (s. 409.997, Florida Statutes) to monitor and measure the use of resources, the quality and amount of services provided, and child and family outcomes.

As Florida works toward a higher level of accountability for the provision of services to families in the child welfare system, existing FSFN functionality must provide additional detail to accomplish this requirement. While FSFN captures services on a global level for each family, there is not the ability to monitor and evaluate the effectiveness of individual services delivered. Although FSFN supports functionality to document services delivered, there are enhancements needed to the current functionality in order to support the ability to reliably monitor and measure the delivery of services across all CBCs in alignment with Florida's Child Welfare Practice Model. In an effort to standardize service delivery throughout the state, while also allowing individual CBCs the flexibility to meet the unique needs of their communities, the Department has developed a framework for service array that categorizes services and aligns them with the Child Welfare Practice Model. In order to capture data related to this service array framework, changes to FSFN are needed.

2. Business Objectives

The desired enhancements will allow delivered services to be documented and ensure the availability of information and data necessary to demonstrate on the local and state levels the services delivered to families, the cost of services and, ultimately, the impact of the service intervention on the families' outcomes. The enhancements to FSFN will improve the ability to document all services provided to a child and the child's family, document information about the providers who deliver services and improve the FSFN reporting environment. These changes will increase accountability through the availability of service delivery data, allowing the Department to have greater oversight of each CBC's programmatic, administrative, and fiscal functioning.

Although the long-term objective of this initiative is to ultimately relate service delivery and results to successful outcomes for children and families, the objectives of the project for 2017-2018 are:

- Define the data elements required to track and ensure accountability in the delivery of services to families that will capture information on specific providers, frequency and duration of service delivered, cost associated with service and whether the service was successfully delivered.
- Align FSFN with defined service array framework and data requirements.
- Enhance FSFN to exchange information with primary sources of services data.

B. Baseline Analysis

1. Current Business Process(es)

CBCs have varied approaches to structuring systems of care for the communities they serve. The effect of these varied approaches is that the data that is gathered by the CBCs is not standardized, which impairs the Department's ability to compile and analyze data from throughout the state and effectively oversee the delivery of individual services by the CBCs.

2. Assumptions and Constraints

Assumptions include:

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

Constraints include:

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

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The following are high-level business requirements for enhancements to Services modules and development of an interface to allow external communication with FSFN:

- Define standardized data elements on services provided and service providers.
- Develop a standardized method for capturing identified data elements and reporting on delivered services and incorporate this into FSFN.
- Develop methods for the results-oriented accountability team to use the services data and services reports for monitoring and measuring the use of resources throughout the state.
- Develop an interface that will allow CBCs and other external partners to input services and provider data into FSFN.

2. Business Solution Alternatives

In the absence of the desired functionality, the Department and its partnering stakeholders have had to implement “work-arounds” and laborious manual processes to track and monitor the services delivered and, in some cases, the data is not available in a manner that allows for a statewide picture. This limits the ability to accomplish the Department’s requirements for monitoring the effectiveness of services delivered.

3. Rationale for Selection

The proposed changes to FSFN and the development of an interface with ancillary systems are needed for the Department to ensure consistent documentation of delivered services throughout the state and to enable the results-oriented accountability team to monitor and measure the use of resources, the quality and amount of services provided, and child and family outcomes.

4. Recommended Business Solution

Implementation of the proposed solution is recommended.

D. Functional and Technical Requirements

Appendix A incudes a table that outlines the functional and technical requirements analyses documentation developed and completed by the agency.

III. Success Criteria

Table 1 presents the success criteria established for the project.

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	CBCs are all documenting services utilizing the service array framework	Through the CBC Contract Oversight process	DCF, Citizens of Florida, Children and Families receiving services	06/18
2	Results-Oriented Accountability program develops methods to measure and monitor services delivered	Monthly Key Indicator Report	DCF, Citizens of Florida, Children and Families receiving services	06/18

Table 1: Success Criteria

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

A. Benefits Realization Table

Table 2 describes the benefits to be realized upon statewide implementation of an adequate network of services in communities throughout Florida. The desired FSFN enhancements would enable effective documentation and monitoring of the services and the results of those services.

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	Increased efficiency in utilization of services	Children and Families	Redirection of funds to better meet the needs of the children and families	Contract Oversight Unit process	06/19
2	Reduction in out-of-home care placements	Children and Families	Fewer children in out-of-home care	Monthly Key Indicator Report	06/19
3	Reduction in out-of-home care length of stay	Children and Families	Days in out-of-home care reduced	Monthly Key Indicator Report	06/19

Table 2: Benefits Realization

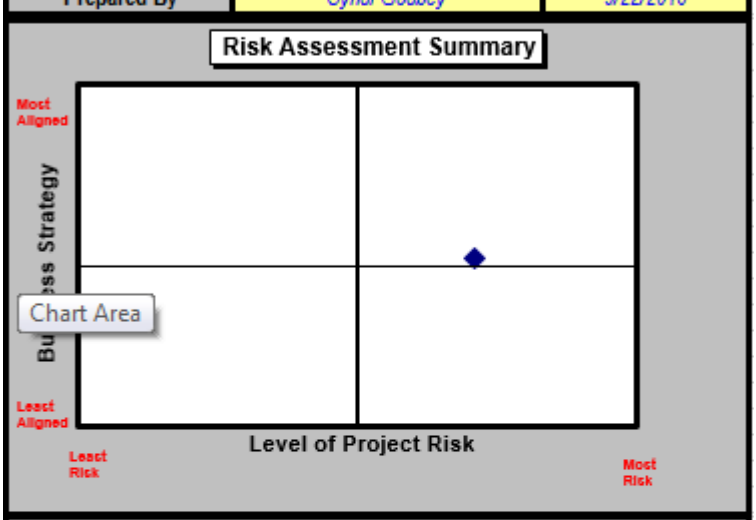
B. Cost Benefit Analysis (CBA)

The required CBA Forms are included as Appendix B. The resulting information indicates that the payback period for the project is less than three (3) years and the five (5) year internal rate of return (IRR) is 63.29%.

V. Schedule IV-B Major Project Risk Assessment

Figure 2 provides a summary of the risk assessment conducted for the project.

Project	FSFN Services Modules Improvements	
Agency	Children and Families	
FY 2017-18 LBR Issue Code:	FY 2017-18 LBR Issue Title:	
Issue Code	Issue Title	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address)		
Cyndi Godbey ------ 850-320-9107 ------ cynthia.godbey@myflfamilies.com		
Executive Sponsor	JoShonda Guemier	
Project Manager	To Be Determined	
Prepared By	Cyndi Godbey	9/22/2016



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

Figure 2: Overall Risk Assessment

The completion of the Risk Assessment Tool (Appendix C) determined the overall project risk to be "High," with the areas of concern being found in the Organizational Change Management, Fiscal and Project Complexity Assessments.

The project proposes a full-time vendor services provider to promote the adoption of the new functionality who will develop and implement an Organizational Change Management plan.

A full-time Project Manager will be secured through a state term contract who will be responsible for developing a comprehensive and detailed spending plan for the project, based upon the funding made available. The Project Manager will be dedicated to the project full-time to also ensure that any risks encountered due to the Project Complexity are addressed and resolved before any escalation.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The child welfare community responsible for implementation of the Child Welfare Practice Model is comprised of a large, diverse group of professionals and partners including approximately 15,000 active FSFN users. These stakeholders, of which approximately 70% are non-DCF employees, span more than 350 organizations. The various roles and types of professionals who collaborate to conduct the core business of Child Safety include judges; Sheriff's Office Investigators and Supervisors; Guardians ad Litem; CBC Administrators, Case Managers and Supervisors; Community Agencies/Partners; Community Service Providers; DCF Hotline, Intake and Child Protective Investigators, Supervisors and Program Administrators; and foster parents. Less than 1%, or 50, of these users are considered Super Users based on their mastery of the FSFN system. Less than 1%, or 76, are infrequent users, but almost all users enter data of some type into the system.

FSFN users generate on average more than 900,000 on-line transactions daily.

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

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

To secure sensitive or confidential Department data from unauthorized access:

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

To maintain the integrity of Department data:

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

The FSFN System runs on a hybrid solution, which includes both mainframe and middle tier hardware. The current mainframe environment is hosted on an IBM Z-series which runs production, user acceptance, system test and development environments. The middle tier hardware is a combination of virtualized and bare metal servers running Windows and Linux operating systems. Servers requiring large amounts of storage are attached to a Storage Area Network (SAN).

FSFN is a web browser-based application built on the Struts MVC Framework in Java Enterprise Edition with a mainframe DB2 database. There are COBOL batch jobs on the mainframe that execute against the mainframe DB2 database. Other components of the FSFN System include a middle tier DB2 database that supports reporting needs through the use of SAP Business Objects Enterprise. The middle tier DB2 database is populated by ETLs that are executed from SAP Data Services.

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

Currently, the FSFN application can be accessed only through Internet Explorer, IE 10 and IE 11 running in "Compatibility Mode." Additionally, FSFN has limited web services capability to communicate with external systems. Web services enable external systems to access and change FSFN limited data in the primary data stores in real-time. However, the technology supporting web services is not equipped to handle all data communication needs. Additional interfacing technologies include batch interfaces which exchange and process files with external data sources. Additionally, there is a heavy reliance on batch processes, inherited from the original transfer state. COBOL is the programming language used to support these batch processes.

The FSFN System is a large legacy application, which requires its own software and hardware standards. Modifications made to the system involve a governance process, which involves both the DCF Office of Information Technology and the Office of Child Welfare. Modification to code requires a code review, as well as security testing. This provides consistency for changes made to the system.

All supporting software products provide the ability for the application to scale to meet the needs of the user community. The Java Application is distributed across multiple application servers with a load balancer maintaining equal load across the servers. The application database is on a mainframe, which has the capability to scale in processing power. Both reports and ETL processing run in a clustered environment, which can be scaled.

b. Current System Resource Requirements

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

The current mainframe installed at the Agency for State Technology (AST) is an IBM model 2965 z13s R05 with a capacity rating of 315 MSUs or 2545 MIPS. It is running z/OS version 2.1 of the operating system with version 13 of IMS for the FLORIDA system and DB2 version 10 for FSFN.

The mainframe environment is supported and maintained by a systems support staff consisting of five state FTE and four contractors. It is monitored and operated 24/7 by three shifts of computer operators, totaling fifteen state FTE positions. Job setup and scheduling is provided by a staff of five state FTE positions. The current mainframe is leased from IBM and the cost of the lease includes hardware maintenance and support. The current cost of the hardware environment is $_,___,___ annually.

In addition to the mainframe, there are components of the FSFN system, which run on middle tier servers. These components include DB2, WebLogic, SAP BOE and SAP DS. Each of these components run on multiple servers and support multiple code streams for Production, User Acceptance, System Test and Development environments.

The software running in the mainframe environment is kept current by software maintenance and fixes supplied by the software vendor. All software licensed for use in the environments has maintenance and support included in the price from the vendor. Maintenance is applied to the software on a regular and timely basis after it is made generally available by the software vendor. This keeps the operating system and third party software running as efficiently as possible. The current cost to maintain the software is $___,___.

c. Current System Performance

Table 3 provides the most recent month's performance metrics for FSFN.

Performance Metrics

	Window	Curr Mo	YTD	Rolling 12	Expected		Minimum	
1.0 Application Availability with Emphasis on Prime Business Hours	Monthly	99.68%	99.78%	99.82%	99.00%	100.00%	98.10%	99.00%
2.0 Average Response Rate	Monthly	0.42	1.81	1.38	1.00	0.00	1.50	1.00
3.0 Average Resolution of Severity One Issues Occurring During Peak Hours	Monthly	0.00	0.00	0.00	2.00	0.00	6.00	2.00
4.0 Average Resolution of Severity Two Issues	Monthly	0.00	0.27	0.27	8.00	0.00	16.00	8.00
5.0 Average Resolution of Severity Three Issues	Monthly	0.00	2.04	2.20	7.00	0.00	21.00	7.00
6.0 Defect Density for Code Deployed to Production	Monthly	0.00	0.00	0.00	2.00	0.00	4.00	2.00
7.0 FSFN Reports and File Extracts Delivered Monday to Friday by 6 am	Monthly	99.55%	98.89%	98.87%	99.00%	100.00%	98.00%	99.00%
8.0 Project and Enhancement Deliverables Produced On-Time	Monthly	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Table 3: FSFN Performance Metrics

These performance metrics demonstrate that the contracted service level agreements are being met with the current system and architecture. These metrics reflect the expectations of technical staff and users for performance criteria.

Further, since the beginning of Fiscal Year 2016-2017, there have been no outages of FSFN due to

application defects. It is also not anticipated that the proposed project will have any significant detrimental impact on application performance.

During the same time period, there was one outage that resulted from some hardware reaching storage capacity. This was addressed on an interim basis by installing additional storage space. In the next year, the DCF Office of Information Technology Services (OITS) Family and Community Services (FCS) team is planning to move FSFN to the Cloud which should ameliorate impact from this type of outage in the future.

2. Information Technology Standards

Table 4 outlines the Information Technology standards for FSFN:

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

Table 4: FSFN Information Technology Standards

B. Current Hardware and/or Software Inventory

Network

Provided by Agency for State Technology (AST).

Core System – Mainframe

- Hardware – hosted on a single shared mainframe with logical partitions dedicated to test and production systems for both FSFN and FLORIDA including a high speed tape system with disk buffering and enterprise storage
- Operation System (OS) – the virtual system is z/OS – Version 2.1 (V2R1) / September 30, 2013
- Database – DB2 – Version 11
- Application – COBOL – Version 5, Release 1

Core System – Middle Tier

A breakdown of the middle tier hardware is found in Tables 5 through 10.

Server	Hardware	Operating System	BEA Weblogic	DB2 Driver (DB2JCC.JAR)	Java Version
FSFNAPP1	Cores:8 Memory:32	RedHat Enterprise Linux 5.4	9.2	V9.7 (3.64.133)	1.5
FSFNPJMS1	Cores:4 Memory:16	RedHat Enterprise Linux 5.4	9.2	V9.7 (3.64.133)	1.5
FSFNPAPP1	Cores:8 Memory:32	RedHat Enterprise Linux 5.4	9.2	V9.7 (3.64.133)	1.5
FSFNPAPP2	Cores:8 Memory:32	RedHat Enterprise Linux 5.4	9.2	V9.7 (3.64.133)	1.5
FSFNUVER	Cores:8 Memory:32	RedHat Enterprise Linux 5.7	9.2	V9.7 (3.64.133)	1.5
FSFNTRNG	Cores:4 Memory:8	RedHat Enterprise Linux 5.9	9.2	V9.7 (3.64.133)	1.5
SCFLZD111	Cores:2 Memory:8	RedHat Enterprise Linux 5.9	9.2	V9.7 (3.64.133)	1.5

Table 5: Java Application Servers

Server	Hardware	Operating System
FSFNFILESRV2	Cores:4 Memory:8	Windows Server 2008 R2 Service Pack 2
FSFNCSA1	Cores:2 Memory:1	MS Windows Server 2003
FSFNSFTPUAT	Cores:2 Memory:16	Windows Server 2008 R2 Service Pack 2

Table 6: Windows Servers

Server	Hardware	Operating System	DB2 for Linux, UNIX, and Windows
FSFNPUDB2	Cores:4 Memory:32	RedHat Enterprise Linux 5.3	9.5
DCF-UPDB001	Cores:12 Memory:128	RedHat Enterprise Linux 5.3	9.5
FSFNTUDB1	Cores:4 Memory:32	RedHat Enterprise Linux 5.3	9.5

Table 7: DB2 LUW Servers

Server	Hardware	Operating System	DB2 Connect Adapter	Business Objects Enterprise
FSFNBOE1	Cores:2 Memory:16	MS Windows Server 2003	9.7	XI 3.1
FSFNBOE2	Cores:1 Memory:16	MS Windows Server 2003	9.7	XI 3.1
FSFBOE3	Cores:2 Memory:32	MS Windows Server 2003	9.7	XI 3.1
FSFNBOEUAT	Cores:2 Memory:8	MS Windows Server 2003	9.7	XI 3.1
FSFNBOEUAT4	Cores:2 Memory:8	MS Windows Server 2003	9.7	XI 3.1
FSFNBOETRNG	Cores:2 Memory:2	MS Windows Server 2003	9.7	XI 3.1
FSFNBOESYS1	Cores:2 Memory:8	MS Windows Server 2003	9.7	XI 3.1
FSFNBOEUVER4	Cores:1 Memory:8	MS Windows Server 2003	9.7	XI 3.1
FSFNBOESYS3	Cores:2 Memory:8	MS Windows Server 2003	9.7	XI 3.1
NS-DCF-WVTBO02	Cores:2 Memory:16	MS Windows Server 2003	9.7	XI 3.1

Table 8: Business Objects Reporting Servers

Server	Hardware	Operating System	DB2 Connect Adapter	Business Objects Data Services
FSFNBODI1	Cores:2 Memory:16	MS Windows Server 2003	9.7	XI 3.2
FSFNBODI2	Cores:2 Memory:16	MS Windows Server 2003	9.7	XI 3.2
FSFNBODIUAT	Cores:4 Memory:16	MS Windows Server 2003	9.7	XI 3.2
FSFNBODIUAT4	Cores:4 Memory:16	MS Windows Server 2003	9.7	XI 3.2
FSFNBODISYS1	Cores:2 Memory:16	MS Windows Server 2003	9.7	XI 3.2
FSFNBODIUVER	Cores:4 Memory:16	MS Windows Server 2003	9.7	XI 3.2
FSFNBODISYS3	Cores:2 Memory:8	MS Windows Server 2003	9.7	XI 3.2
NS-DCF-WVTBO03	Cores:4 Memory:16	MS Windows Server 2003	9.7	XI 3.2

Table 9: Business Objects Batch Servers

Server	Hardware	Operating System	Oracle Database
ETP	Cores:4 Memory:32	MS Windows Server 2008	11g
DBDEV1	Cores:4 Memory:32	MS Windows Server 2003	11g
NS-DCF-WVTBO02	Cores:2 Memory:16	MS Windows Server 2003	11g

Table 10: CMS Database Servers

Application

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

Core system client

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

Data Warehouse Middle Tier

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

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

Business Intelligence Client

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

Development Infrastructure

- IBM Rational ClearCase (CC) – NSRC
- IBM Rational ClearQuest (CQ) – NSRC
- IBM Rational Requirements Composer (RRC) – NSRC
- IBM Rational Quality Manager (RQM) – NSRC
- IBM Rational Performance Tester (RPT) – NSRC
- IBM Rational Security AppScan – NSRC
- Section 508 scan tool - NSRC

Developer Workstation

- Eclipse
- Rational System Architect (RSA) 8.5.1
- Rational ClearCase plugin for Eclipse / RSA

- Rational ClearQuest plugin for Eclipse / RSA
- Microsoft Office Suite (2003-2010)

C. Proposed Technical Solution

1. Technical Solution Alternatives

There are two technical solution alternatives. The first is to leverage the existing software development framework for the Java Application, Reporting, Databases, Interfaces and Batch Processing. All modifications needed to meet the needs for the requirements would be made to the existing system using the existing standards and governance processes. This minimizes the overall impact to hardware and software by only requiring expanded storage.

The second alternative involves the selection of a new development framework (such as SPRING and HIBERNATE) which will meet requests to improve the overall flexibility of the system, such as browser independence. This alternative would involve completely recoding the existing coded module within FSFN to operate in the new development framework.

2. Rationale for Selection

The Rationale for Selection is based on the following factors:

- Available Skill Set to Implement and Support
- Requirement of New Software
- Ability to Integrate with the Rest of the Application
- Requirement for New Hardware
- Overall Cost

3. Recommended Technical Solution

The first option is recommended for implementation. The rationale for this selection is due to:

- Option 2 requires a new skill set to code and maintain the new functionality
- Option 2 requires a complete rewrite of existing functionality related to the system modification
- Option 2 requires complex integration of system security for a seamless look and feel with the rest of FSFN
- Option 2 requires new hardware to support the execution of the new code

Most importantly, Option 1 leverages existing skills, technology and standards.

D. Proposed Solution Description

1. Summary Description of Proposed System

a. Enhancements to existing Web Application, Database Structure, ETL and Reporting System
b. Wired Connectivity
c. HIPPA, PII, Sections 282.601-282.606 FS
d. Procurement is a PCR to an Existing Contract for Enhancement Services
e. Internal Interfaces (Interfaces to Community Based Care Organizations)
f. Enhancements to Legacy Application with no System Replacement Planned
g. No Other Systems for Integration

2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

a. Application Enhancements will be made using Java and the Struts MVC Framework; Database Enhancements will be made using the DB2 database; Reporting Enhancements will be made using the SAP BOE reporting platform; ETL Enhancements will be made using SAP DS platform; Interfaces will be written using Java.
b. Data Center services will entail database and deployment support
c. No new software requirements
d. No new staffing requirements for State Resources

e. Ongoing Operations Costs will be incorporated into the current operation costs

E. Capacity Planning

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

   Expanded storage is the only hardware cost associated with these changes. The current specifications for other server, storage and network should be sufficient to accommodate any growth in the system resulting from these changes.

2. It is assumed that the FSFN Project team (contracted vendor) will acquire additional staff to accomplish the changes related to this initiative and that the FSFN Project team has sufficient knowledge and skill to deliver the requested changes to the FSFN system.

3. This initiative is to improve the functionality of the FSFN system. The changes included will further improve and clarify the data that is collected on services provided to children and families.

4. The services to support this initiative are functional and technical skills related to the FSFN system. The current FSFN team has both the functional and technical skills to make the requested changes associated with this initiative.

5. See Section VI.C.1. and VI.C.3. for options and alternatives considered.

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

VII. Schedule IV-B Project Management Planning

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

Project Charter

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

Project Name

Enhancing Family Safety through Florida Safe Families Network Services Modules Improvements

Purpose

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

Scope

Included in the scope of this project are enhancements to and recoding of FSFN modules that document and track services referred and delivered to children and families.

Approach

The software development methodology used by the DCF OITS FCS team has typically been Waterfall. However, with the positive responses to a hybrid Agile approach for a current initiative, Strengthening Child Safety Practice through Technology, the same approach may be used for this project. Generally, the timeline for each build will follow a staggered stair-stepping approach through phases, as follows:

- Planning
- Functional Design
- Technical Design
- Development
- Test Planning and Execution
- User Acceptance Testing
- Deployment

At a minimum, the FSFN Enhancements outlined will be grouped together based upon the FSFN functional areas involved and interdependencies among them. These groupings will be clustered into four builds that will be released to production in September 2017, December 2017, March 2018 and June 2018.

Deliverables

Table 11 identifies the initial project deliverables:

Name	Description
Project Charter	A document authored by the Project Manager and issued by the Project Sponsor authorizing the Project Manager to apply resources to project activities.
Project Management Plan	Includes but is not limited to one or more of the following documents: • Scope Management Plan • Requirements Management Plan • Scope Baseline • Project Organization and Governance Structure • Work Breakdown Structure • Schedule Management Plan • Schedule Baseline, Resource Loaded • Cost Management Plan • Cost Baseline (from determined budget) • Project Spending Plan • Quality Management Plan • Human Resource Plan • Communication Management Plan • Risk Management Plan • Procurement Management Plan • Process Improvement Plan • Change Management Plan • Deliverable Acceptance Plan • Issue Management Plan • System Security Plan • Requirement Traceability Matrix • Organizational Change Management Plan • Configuration Management Plan
Risk, Issue & Action Registers	Prioritized list of identified risks and actual issues during the project.
Status Reports and Meeting Actions	Record of project status delivered and decisions/actions taken.
Work Stream Deliverables	Includes Work Stream Management (e.g., Charters and Work Stream Plans) and Work Stream Specific (e.g., requirements, designs, build milestone accomplishment, test results, documentation) deliverables.

Table 11: Project Deliverables

Milestones

Table 12 lists the initial project milestones.

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

Table 12: Project Milestones

Stakeholders

Table 13 describes the project stakeholders and functions performed by FSFN for each group.

Stakeholders	Function Performed
Children	Receipt of alleged abuse/neglect
Vulnerable Adults	Receipt of alleged abuse, neglect, exploitation and self-neglect
Residents of Florida/Parents/Guardians	Informational referrals to DCF local offices and other services
Child Protective Investigators and Caseworkers	Gather/report information for investigations, with allegation narrative, subjects involved and criminal background information Request and review criminal background checks for additional subjects in an investigation and for child placements
Community-Based Care Providers	Gather/report information related to criminal background checks for child placements and report on direct care services provided
County Law Enforcement (where contracted for protective investigations)	Gather/report information for investigations, with allegation narrative, subjects involved and criminal background information Conduct criminal background checks for additional subjects in an investigation and for child placements
Florida Department of Health (DOH)	Provide medical evaluations, specialized interviews, forensic interviews and psychological and parenting evaluations for alleged victims of abuse and neglect and their parents/legal caregivers. Provide children's immunization information via Florida SHOTS (State Health Online Tracking System), a free, statewide, centralized online immunization registry that helps health-care providers and schools keep track of immunization records. DOH also provides birth, death, fetal death, marriage, and dissolution of marriage (divorce) records.
Florida Department of Law Enforcement (FDLE)	Provide data and assistance with statewide background checks on alleged victims, parents or legal custodians and other alleged perpetrators. Conduct companion criminal investigations in conjunction with DCF or Sheriff's CPIs on cases which are within FDLE's jurisdiction to investigate
Florida Legislature	The Florida Senate and House of Representatives are responsible for the appropriation of funds for the State of Florida. The reports generated from FSFN data provide crucial information needed to support child protection programs and funding requests to the legislature. Analysis of the FSFN data is necessary to evaluate the impact of proposed statutory changes.
Governor's Office of Policy and Budget (OPB)	The Office of Policy and Budget (OPB) provides coordinated planning, policy development, budgeting and evaluation in support of the Governor, State agencies and State Legislature pursuant to authority under the Florida Statutes. The Information Technology Unit within OPB coordinates and develops recommendations and advises the Governor on information technology through establishing and directing the IT investment management process that supports the preparation, execution and amendment of the state budget.
Agency for Children and Families (ACF) – Part of the Federal Department of Health and Human Services (HHS)	Administers Federal and State reporting systems that provide data to monitor and improve child welfare outcomes. The ACF receives several reports and data extracts from the FSFN system.

Table 13: Project Stakeholders

Project Schedule

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

Project Budget

The cost information used as the basis for the preliminary project budget (see Figure 3) was developed through multiple analyses and work sessions and from publicly available pricing information. These numbers represent an estimate to be used for budgetary planning purposes only as actual costs will vary. The cost may change based on deliverable payment schedule negotiated during the procurement process for certain products.

Cost Categories	Funds Required
Vendor Development Costs	$ 4,623,000
Vendor OITS Support Costs	$ 391,400
Vendor System Adoption Costs	$ 330,720
Hardware Costs	$ 8,555
TOTAL	$ 5,353,675

Figure 3: Project Budget

Project Organization

This section includes an explanation of the project's governance structure, which includes the executive steering committee, project sponsor and project implementation teams. Members of the Executive Steering Committee will include DCF Management who demonstrate commitment to the success of the project by their willingness to provide both oversight and advocacy for the modernization effort. One of their most important roles will be to keep the project's charter firmly in view and assist the Project Sponsor and Project Director in resisting forces that will seek to alter the project's objectives. The committee will also support them in guarding against scope growth and assist in responding to external changes that impact the project.

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

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

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

Figure 4 shows the project organization structure and the relationship between its components:

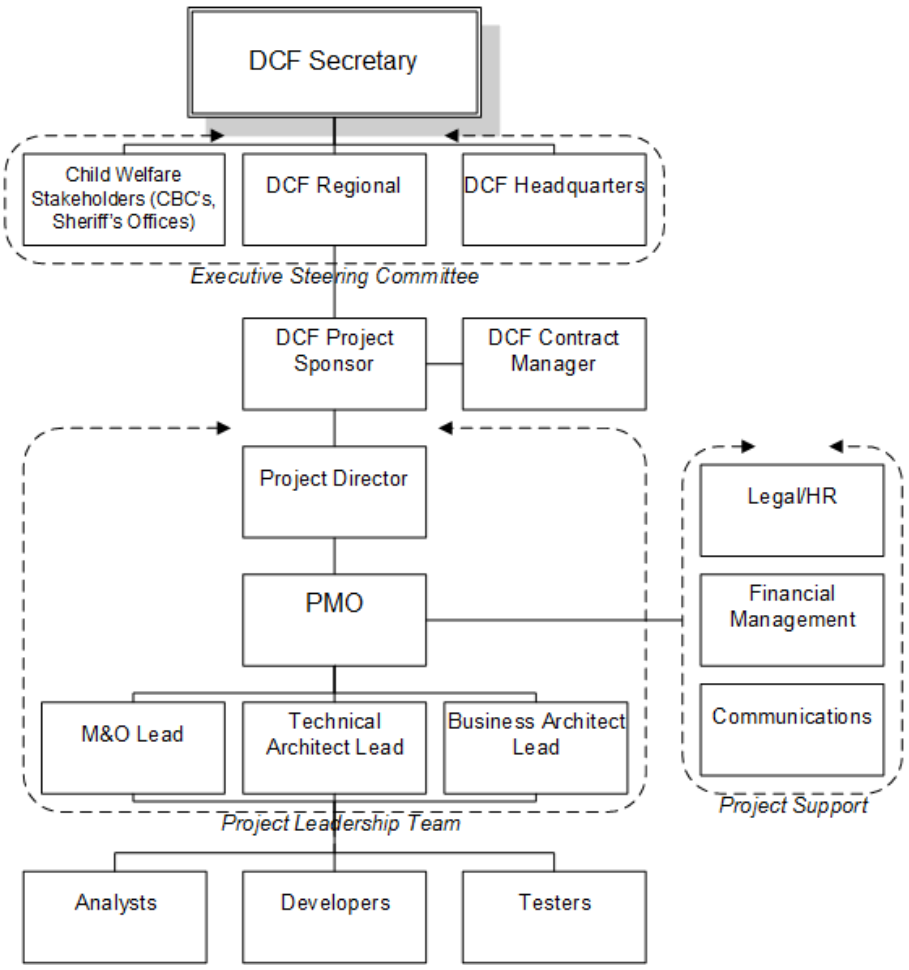


Figure 4: Project Organization

Table 14 identifies the project/work stream team roles within the project organization and a summary of their responsibilities:

Role	Responsibility
Executive Governance Steering Committee	• Sets overall strategic scope and direction • Reviews project risks, issues and exceptions • Provides general project oversight
Project Sponsor	• Sets tactical scope and direction • Provides specific project and work stream oversight • Influences interaction with stakeholders • Accepts major project and work stream deliverables • Final arbiter of project issues
Project Director	• Documents project charter (objective/scope/etc.) • Develops project management plans • Consolidates work stream plans into project plan • Reports project status • Maintains project financials • Manages integrated project change control • Manages project risks, issues and actions • Facilitates team communication
Business, Technical & Vendor Management	• Oversees business, technical and vendor teams • Ensures resources are available for projects • Resolves business or technical issues • Communicates with project manager
Team Members	• Performs business or technical activities as documented in the project plan • Reports business or technical activity completion status
Stakeholders	• Acts as a business or technical advocate • Speaks to the strategic business interests • Provides a perspective of current and future business or technical requirements • Communicates project information to their constituent communities • Performs user acceptance testing

Table 14: Project Roles and Responsibilities

Project Quality Control

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

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

- Quality Planning – Identifies the quality standards that are relevant to the work stream deliverables and how they will be achieved. The work stream charter, work stream management plans (resource, schedule, budget, change control, etc.), development standards, testing management plans, contract management, etc. are key inputs. The Quality Plan will be developed during the initiation of the work streams.
- Quality Assurance – Execution of quality activities during work stream execution to ensure variances in processes are clearly identified and assessed. Examples of these activities are process analysis, reviews and audits performed by the PMO.

- Quality Control – Monitoring work stream activities and deliverables to determine if they comply with the project's quality standards. Monitoring during the work stream may take the form of self-reviews, peer reviews, structured testing or status meetings.

External Project Oversight

This project entails as much effort as the current ongoing vendor contract for enhancements and M & O. It is imperative that this project be led by a certified project manager with significant experience. Therefore, it is advisable that a PMO be established to coordinate work efforts. It is our recommendation that an outside vendor be procured who can maintain objectivity within the PMO and monitor all project management activities.

Risk Management

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

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

The following subsections describe the risk management processes in more detail.

Risk Identification

Any project team member may identify potential project risks resulting from normal activity on the project. Risk identification defines future events that could have an undesirable impact on project cost, schedule, business or technical performance. Upon identification, a statement is developed that establishes a concise definition of the risk. The description articulates a clear cause and effect relationship that supports effective risk mitigation actions. The definition of the risk should be well defined and bounded. Failure to do so can complicate the analysis activity and may result in the implementation of incorrect preventative action.

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

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

Risk Analysis

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

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

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

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

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

There are several tools and sources of data to understand how probability and impact affect the project's cost, schedule or objectives, such as PERT, GANTT, simulations, historical data and expert judgment (internal or external). The project shall use the baseline project schedule as the primary tool to assist in understanding impact to schedule and resources. Cost impact is derived from analyzing impact to resources and associated expenditures for hardware, software, telecom and personnel. Risk analysis also helps determine the prioritization of all risks and what resources to apply to respond to each risk.

Mitigation Planning

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

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

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

Risk Documentation and Tracking

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

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

Risk Closure

A risk may be closed by the Risk Management Working Group if it is determined all action items

associated with the risk have been complete, or the risk will no longer impact the project. The risk may also be closed if the Risk Management Working Group determines that the risk should be elevated to the status of an issue. In this circumstance, the Risk Management Working Group has concluded that the proposed mitigation strategy associated with the risk cannot control the impact or probability of occurrence and other resources are required. All closed risks will indicate the date the risk was closed, who initiated the action and any comments appropriate to clarify the action taken. This data is maintained in the risk-tracking tool and reviewed regularly.

Project Communication

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

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

- An upward channel with senior executives and steering committee to highlight issues, risks and scope exceptions;
- A lateral channel with sponsor(s), stakeholders, and other agency management involving requirements, resources, budgets and time allocations; and
- A downward channel with the project team highlighting processes, activities, dates, status and general team briefings.

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

VIII. Appendices

Appendix A: Functional and Technical Requirements

FUNCTIONAL AND TECHNICAL REQUIREMENTS	
Requirement	Functional or Technical
Incorporate standardized data elements on services provided and service providers into FSFN.	Functional
Incorporate data elements on services provided and service providers into BOE reporting in FSFN.	Functional
Develop an interface that will allow CBCs to input services and provider data into FSFN using ancillary systems.	Functional
Create new service referral data fields for 'Date of Referral' and 'Service Authorization Purpose' and other relevant data elements identified.	Technical
Create new service delivery data fields for 'End Reason,' 'Success of Delivery,' 'Narrative Feedback,' 'Delivery Start Date,' Delivery End Date,' 'Service Length/Intensity' and other relevant data elements identified.	Technical
Create new financial service delivery data fields for 'Cost per Unit,' 'Payment Dates,' 'Payment Reconciliation' and other relevant data elements identified.	Technical
Create interface to allow upload of new data fields to FSFN.	Technical

Appendix B: Cost Benefit Analysis Worksheets

Appendix C: Risk Assessment Tool

Section 1: Strategic Assessment

Section 2: Technology Exposure Assessment

Section 3: Organizational Change Management Assessment

Section 4: Communication Assessment

Section 5: Fiscal Assessment

Section 6: Project Organization Assessment

Section 7: Project Management Assessment

Section 8: Project Complexity Assessment

Appendix D: High Level Project Plan

Appendix E: Communication Plan

What	Who	Owner	Purpose	Frequency	Type
Project Plan (Integrated Work Stream Plans)	Key stakeholders	Project Manager	Update stakeholders and project team on project progress, dependencies and milestones.	Bi-Weekly	Document distributed via hardcopy or electronically
Executive Status Report	All stakeholders	Project Manager	Update stakeholders on progress of the project.	Monthly	Distribute electronically and post on project repository
Steering Committee Meeting	Project Steering Committee	Project Manager	Update on status, discuss critical issues and approve changes to Project Plan.	Monthly	Meeting
Executive Sponsor Meeting	Executive Sponsor	Project Manager	Update on project status; discuss critical issues and risks; and review changes to Project Plan.	Bi-Weekly	Meeting
Work Stream Workbook	Project Team	Work Stream Managers	Monitor and track project status, milestones, issues, actions, decisions, risks, assumptions, constraints and scope.	Weekly	Distribute electronically and post on project repository
Team Meetings	Entire project team or individual meetings with sub-teams, as appropriate	Work Stream Managers	Review detailed plans (tasks, assignments, issues, and action items).	Regularly Scheduled	Meeting Template
Project Repository	All Work Stream team members	Work Stream Managers	Provide central location for status reports, meeting minutes, project description, and Project Plans for shared communications.	Regularly Scheduled	Shared network repository
Periodic Demos and Presentations	Focus on specific groups	Work Stream Managers	Gain inputs and approvals and update on project status.	As needed	Presentation/ Discussion
Other	To be determined	Work Stream Managers	General communications.	As needed	Email lists, announcements, etc.

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2017 -2018**

Budget Entity: 60910506 -Mental Health Program

(1) SECTION I		(2) ACTUAL FY 2015 -2016	(3) ESTIMATED FY 2016-2017	(4) REQUEST FY 2017-2018
Interest on Debt	(A)	4,655,109.27	4,268,235.00	3,891,985.00
Principal	(B)	7,025,000.00	7,410,000.00	7,785,000.00
Repayment of Loans	(C)			
Fiscal Agent or Other Fees	(D)	31,244.54	35,000.00	35,000.00
Other Arbitrage Rebate an	(E)	2,125.00	7,500.00	6,000.00
Total Debt Service	**(F)**	11,713,478.81	11,720,735.00	11,717,985.00

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

SECTION II

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

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) 30-Jun-17	(5) 30-Jun-18
From 3.75% to 5.00%	7/1/2018	$37,985,000)	$3,030,000	-

(6)		(7) ACTUAL FY 2015 -2016	(8) ESTIMATED FY 2016-2017	(9) REQUEST FY 2017-2018
Interest on Debt	(G)	433,249.27	295,750.00	151,500.00
Principal	(H)	2,750,000.00	2,885,000.00	3,030,000.00
Fiscal Agent or Other Fees	(I)	9,793.44	10,000.00	10,000.00
Other	(J)		1,500.00	
Total Debt Service	**(K)**	3,193,042.71	3,192,250.00	3,191,500.00

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

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-16	30-Jun-17
From 4.00% to 5.00%	10/1/2025	$41,940,000	$26,975,000	$24,845,000

		ACTUAL FY 2015 -2016	ESTIMATED FY 2016-2017	REQUEST FY 2017-2018
Interest on Debt	(G)	1,484,500.00	1,385,750.00	1,281,875.00
Principal	(H)	1,925,000.00	2,025,000.00	2,130,000.00
Fiscal Agent or Other Fees	(I)	8,170.00	10,000.00	10,000.00
Other	(J)	2,125.00	3,000.00	3,000.00
Total Debt Service	**(K)**	3,419,795.00	3,423,750.00	3,424,875.00

Office of Policy and Budget - June 2016

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2017 -2018**

Budget Entity: 60910506 -Mental Health Program

(1) SECTION I		(2) ACTUAL FY 2015 -2016	(3) ESTIMATED FY 2016-2017	(4) REQUEST FY 2017-2018
Interest on Debt	(A)			
Principal	(B)			
Repayment of Loans	(C)			
Fiscal Agent or Other Fees	(D)			
Other Arbitrage Rebate an	(E)			
Total Debt Service	**(F)**			

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

SECTION II

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

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) 30-Jun-17	(5) 30-Jun-18
From 4.00% to 5.00%	10/1/2029	$68,730,000	$51,895,000	$49,270,000

(6)		(7) ACTUAL FY 2015 -2016	(8) ESTIMATED FY 2016-2017	(9) REQUEST FY 2017-2018
Interest on Debt	(G)	2,737,360.00	2,586,735.00	2,458,610.00
Principal	(H)	2,350,000.00	2,500,000.00	2,625,000.00
Fiscal Agent or Other Fees	(I)	13,281.10	15,000.00	15,000.00
Other - Arbitrage	(J)		3,000.00	3,000.00
Total Debt Service	**(K)**	5,100,641.10	5,104,735.00	5,101,610.00

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-16	30-Jun-17

		ACTUAL FY 2015 -2016	ESTIMATED FY 2016-2017	REQUEST FY 2017-2018
Interest on Debt	(G)			
Principal	(H)			
Fiscal Agent or Other Fees	(I)			
Other	(J)			
Total Debt Service	**(K)**			

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015 - 2016

Department: Florida Department of Children and Families

Chief Internal Auditor: Jerry Chesnutt

Budget Entity:

Phone Number: 850-717-4168

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
#A-1516DCF-007	January 2015 to June 2015	General Services	**Audit of the Operations of the Department' Purchasing Card Program** The objectives of this audit were to determine the Department's compliance with the Department of Financial Services (DFS) Statewide Purchasing Card guidelines. The audit disclosed the following: • The Department is out of compliance with the DFS 10-day payment requirement. • Department cardholder files contained un-redacted copies of the cardholder's Purchasing Card. • Cardholder and approver records in the Purchasing Card Module of Flair were not timely updated	The Director of General Services response included updates to processes that would be implemented to address the findings.	
#A-1516DCF-011	Dec. 31, 2015	Agency Wide	**Organizational Ethics** The objective of this audit was to evaluate the design and effectiveness of the Department's ethics-related programs and activities. Twelve Department employees had not taken the mandatory online ethics training at the time this audit was conducted.	The 12 employees were contacted and reminded of the requirement to take the online ethics training. During the follow u it was determined that all 12 employees had completed the training.	

#A-1516DCF-031	**July 2014 to June 2015**	**Agency Wide**	**<u>Audit of the Department's Purchasing Card Transactions</u>** **The objectives of this audit were:** **• Determine the Department's compliance with the Department of Financial Services Statewide Purchasing Card guidelines;** **• Determine the Department's compliance with its policies and procedures relating to the processing of Purchasing Card transactions; and** **• Evaluate Department policies and procedures relating to Purchasing Card Transactions.** **The audit disclosed the following:** **• Department records in the Voucher Imaging System did not always contain all required supporting documentation for Purchasing Card transactions.** **• Purchasing Card transaction receipts were not signed and dated by the cardholder, and card numbers were not redacted from the receipts.** **• The Administrative Services Support Center (ASSC) did not always notify the Department's Purchasing Card Administrators of cardholder misuse of their Purchasing Card**	**The audit report offered recommendations to address the findings, and management, in their response, described the appropriate corrective action being taken.**	

#A-1516DCF-062	**March 2015 to March 2016**	**Child Welfare**	**Background Screening of Summer Camp and Membership Organizations Personnel** **The objectives of this audit were to:** **• Evaluate the adequacy and effectiveness of the Department's policies and procedures related to background screening of summer camp and membership organization personnel;** **• Assess the extent of compliance by summer camps and membership organizations with applicable background screening requirements; and** **• Determine whether management had taken corrective actions for findings included in our Assurance Report #A-1112DCF-010, .** **The audit disclosed the following: Summer camps' compliance with statutory background screening requirements continues to be an issue. Overall, membership organizations have not demonstrated compliance with background screening requirements through the Department. Department operating procedures related to background screening are outdated and do not reflect changes applicable to personnel of summer camps and membership organizations.**	**The Assistant Secretary of Child Welfare responded that all non-compliant summer camps and membership organizations were notified of their non-compliance status and provided information regarding compliance with the statute. Additionally the procedures are currently being updated to reflect the statutory changes.**	
No. 2016-007	**July 2014 through March 2015**	**IT Operational**	**Auditor General Florida Online Recipient Integrated Data Access (FLORIDA) System.** **The Department had numerious data exchange responses that had not been reviewe and processed and were overdue. Ineligible individuals may receive benefits. AG recommends the Department improve controls to ensure that data exchange responses are reviewed and processed within the time frames established by Department policy.**	**The following corrective actions were implemented to strengthen current strategies and identify new ones:** **• Performance improvement meetings;** **• DE analysis;** **• Development of a tolerance threshold for compliance; and** **• Requirement for Regional corrective action plans.**	

No. 2016-004	**July 2015**	**Administrative Compliance**	**<u>Prior Operational Audit Follow-up</u>** **The Department had still not established policies and procedures for the collection and use of social security numbers or evaluated its collection and use of social security numbers to ensure compliance with State law.**	**The Offices of General Services and Information Technology Services will coordinate with the Assistant Secretary for Administration and Office of General Counsel to formalize operating procedures governing collection and use of Social Security Numbers. A draft operating procedure has been developed and will be further refined and reviewed to ensure compliance with statutory requirements. Additionally, the Office of General Services will continue its work with the Program Areas to update forms that require collection of Social Security Numbers so that they meet statutory requirements. This effort will include the deletion of several forms no longer needed as indicated by the survey conducted in April 2015.**	
No. 2016-004	**July 2015**	**Administrative Compliance**	**<u>Prior Operational Audit Follow-up</u>** **Department controls over employee access to the Florida Online Accounting Information Resource Subsystem (FLAIR) and the Department's network needed improvement. Additionally, employee separation checklists used to account for the return of all State-owned property, files, records, and work product for employees separating from Department employment were not always timely or properly completed.**	**The Office of Financial Management will establish policies and procedures requiring periodic reviews of FLAIR access privileges to aid in the identification and resolution of any instances where excess or incompatible privileges have been granted or access privileges are no longer needed and requiring timely deactivation of FLAIR access upon a user's separation from Department employment .**	